

PERFORMANCE APPRAISAL SYSTEM IN THE INDIAN AIR FORCE :
AN EMPIRICAL STUDY

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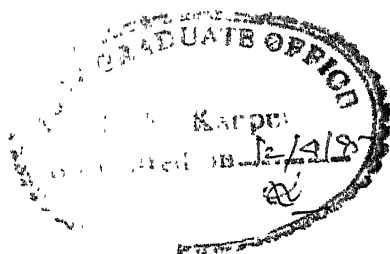
CERTIFICATE

This is to certify that present work on "Performance Appraisal System in the Indian Air Force : An Empirical Study" by Squadron Leader P.C. Pandey has been carried out under my supervision and has not been submitted elsewhere for award of a degree.


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ABSTRACT

1. There are two prominent resources of production, viz. material and human. The material resource is inert, whereas the human resource is ert. Of the two resources, the human resources being ert become the prime mover of the entire organisation in achieving its goals and objectives. A dynamic organisation always ensures that its manpower quality is always at its best.
2. Performance Appraisal System (PAS) has gained importance because it is one of the most significant ways of improving and maintaining the quality and effectiveness of the human resources in an organisation.
3. In Indian Air Force the appraisal system for officers was adopted from the Royal Air Force. Since then it has undergone many changes and the latest change was made in 1950 which was the result of an in-house research.
4. The objectives of the present study was to measure the satisfaction level of IAF officers on various aspects of PAS, identify the problems in the PAS as perceived by the officers and suggest improvements in order to make the PAS more effective.
5. For this purpose, a questionnaire was designed and an opinion survey was conducted on a sample of IAF officers.

The data collected was analysed by applying various statistical techniques and useful conclusions were drawn. The study also suggests certain corrective course of action for the IAF in order to improve its performance appraisal system.

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C O N T E N T S

| | | |
|------------|---|------------|
| | Abstract | iii |
| | Acknowledgements | v |
| | List of Tables | ix |
| | List of Figures | x |
| | List of Appendices | x |
| I | INTRODUCTION | 1 |
| | 1.1 Significance of the Performance Appraisal System | 1 |
| | 1.2 Performance Appraisal in the Indian Air Force | 2 |
| | 1.3 Research Objectives | 3 |
| | 1.4 Plan of the Thesis | 4 |
| II | PERFORMANCE APPRAISAL : A LITERATURE REVIEW | 6 |
| | 2.1 Evolution of the Concept | 6 |
| | 2.2 Definition | 7 |
| | 2.3 Role of Performance Appraisal in Organisations | 7 |
| | 2.4 Literature Survey pertaining to objectives of the study | 10 |
| | 2.5 Errors and Biases in Appraisal | 15 |
| | 2.6 Performance Appraisal Methods | 19 |
| III | RESEARCH QUESTIONS AND RESEARCH DESIGN | 28 |
| | 3.1 Research Questions | 28 |
| | 3.2 Research Methodology | 29 |
| | 3.3 Questionnaire Design | 32 |

| | | |
|-----------|---|-----------|
| 3.4 | Development Stages of Questionnaire | 33 |
| 3.5 | Sample Design | 34 |
| 3.6 | Data Collection | 36 |
| IV | THE INDIAN AIR FORCE AND THE PERFORMANCE APPRAISAL SYSTEM IN IAF | 39 |
| 4.1 | IAF as an Organisation | 39 |
| 4.2 | Appraisals in Human Resource Development in IAF | 40 |
| 4.3 | Description of the System | 43 |
| V | DATA ANALYSIS | 53 |
| 5.1 | Formatting the Raw Data | 53 |
| 5.2 | Basis of Analysis | 55 |
| 5.3 | Analysis of Responses | 56 |
| 5.4 | Hypothesis Test | 59 |
| 5.5 | Qualitative Analysis | 63 |
| VI | RESULTS AND DISCUSSIONS | 85 |
| 6.1 | Introduction | 85 |
| 6.2 | Probable Problems in PAS | 86 |
| 6.3 | Criticality of the Statements | 99 |
| 6.4 | Suggestions | 105 |
| 6.5 | Satisfaction Level of Officers towards PAS and its objectives | 107 |
| 6.6 | Suggested changes to PAS | 116 |
| 6.7 | Qualitative Analysis | 127 |

| | | |
|------------|--|------------|
| VII | CONCLUSIONS | 130 |
| 7.1 | Background | 130 |
| 7.2 | Probable Problems in PAS | 131 |
| 7.3 | Criticality of Statements towards Effectiveness of PAS | 134 |
| 7.4 | Recommendations | 136 |
| 7.5 | Satisfaction Level of Officers on PAS and its various Objectives | 137 |
| 7.6 | Suggested Changes to PAS | 138 |
| 7.7 | Limitations of the Study | 141 |
| 7.8 | Suggestion for Future Research | 141 |
| | APPENDICES | 143 |
| | REFERENCES | 174 |

LIST OF TABLES

| | | |
|------|--|-----|
| 2.1 | Appraisal Methods - Advantages and Disadvantages | 26 |
| 3.1 | Planned Sample Distribution | 35 |
| 3.2 | Category Wise Response Rate | 38 |
| 5.01 | Codification of the Responses | 55 |
| 5.02 | Various Tests under Non Parametric Hypothesis Testing for Two Independent Samples | 61 |
| 5.1 | Frequency Responses on the Probable Problems with the PAS | 72 |
| 5.2 | Percentage Response Rate on the Probable Problems with the PAS | 73 |
| 5.3 | Frequency Responses on Criticality of Statements towards Effectiveness of PAS | 74 |
| 5.4 | Criticality of Statements towards Effectiveness of PAS | 75 |
| 5.5 | Frequency Responses on Satisfaction Level with PAS and its Objectives | 76 |
| 5.6 | Satisfaction Level Across Categories with PAS and its Objectives | 77 |
| 5.7 | Frequency Responses on Suggested Changes to PAS | 78 |
| 5.8 | Percentage Response Rate on Suggested Changes to PAS | 78 |
| 5.9 | Hypothesis Testing | 79 |
| 5.10 | Hypothesis Testing : Statements Tested Negative (Reject Ho) between the Three Branch | 82 |
| 5.11 | Categorywise Suggestion on Weightages to IO/RO/SRO | 83 |
| 6.1 | Statements - Views and status | 91 |
| 6.2 | Criticality of Statements | 100 |
| 6.3 | Findings on Satisfaction Level with PAS and its Objective | 115 |

LIST OF FIGURES

| | | |
|-----|--------------------------|---|
| 2.1 | The Human Resource Cycle | 7 |
|-----|--------------------------|---|

LIST OF APPENDICES

| | | |
|-----|--|-----|
| A | Questionnaire Used for the Study | 143 |
| B | Sample of Appraisal Form | 150 |
| C1 | Response Variation in Categories (Rankwise) | 162 |
| C2 | Response Variation in Categories (Rankwise) | 163 |
| C3 | Response Variation in Categories (Branchwise) | 164 |
| C4 | Response Variation in Categories (Branchwise) | 165 |
| C5 | Criticality of Statements in Categories (Rankwise) | 166 |
| C6 | Criticality of Statements in Categories (Rankwise) | 167 |
| C7 | Criticality of Statements in Categories (Branchwise) | 168 |
| C8 | Criticality of Statements in Categories (Branchwise) | 169 |
| C9 | Satisfaction Level of Officer with PAS and its Objectives in Categories (Rankwise) | 170 |
| C10 | Satisfaction Level of Officer with PAS and its Objectives in Categories (Branchwise) | 171 |
| C11 | Response Variation on Suggested Changes to PAS in Categories (Rankwise) | 172 |
| C12 | Response Variation on Suggested Changes to PAS in Categories (Branchwise) | 173 |

INTRODUCTION

1.1 SIGNIFICANCE OF THE PERFORMANCE APPRAISAL SYSTEM

In many organisations, performance appraisal has become an important component of the Human Resource Management (HRM) system. Large amount of resources-money, materials and man-hours¹ are being spent in devising and implementing performance appraisals. The system has gained importance because it is one of the most significant ways of improving and maintaining the quality and effectiveness of the human resources in an organisation. The objective of the performance appraisal system (PAS) is to harness the resources of the organisation towards achieving set goals and targets.

Some studies suggest that there is a fair amount of discontent about performance appraisals in a large number of organisations (Srinivasan, 1994). Many managers find that the same occupies too much of their productive time without commensurate rewards. Thus, quite a few organisations are in search of a satisfactory system of appraisal which would meet the objectives of the organisation as well as make their employees accept it as a facilitating mechanism that would promote a high performance culture (Wanvari, 1993). Appraising performance becomes crucial from the point of organisations, who are facing an increasing competitive environment, where performance and efficiency of the employees are critical success factors. Therefore, there is a compelling need to appraise the performance

- both at unit level as well as at individual level, as a systematic and ongoing activity.

The present work is an attempt to study the performance appraisal system used in the Indian Air Force (IAF) for the officers.

1.2 PERFORMANCE APPRAISAL IN THE INDIAN AIR FORCE

In Indian Air Force, the appraisal system for officers was adopted from the Royal Air Force. It was first revised in 1953 and the revised version of the appraisal report form continued to be used for over two and a half decades. During this period, the organisation had undergone vast changes in size and technology. These changes compelled the organisation to have a fresh look on the various policies and practices in use. In 1977, a team of IAF officers thoroughly revised the appraisal report forms and the system.

Since then, no major work has been carried out on the subject. In the past few years, doubts have been expressed by officers about the objectivity and reliability of the system. The general view stated was that the system has a factor of subjectivity into it and the performance of an individual is ignored over the social and personal relations he/she maintains with his/her superior. Further, the IAF follows a close system of appraisals where the appraisee does not come to know his report. Only the adverse comments on the appraisee are communicated to him through the appraisal reports. Officer only comes to know about his performance at the time when he is considered for the post of Wing Commander i.e, after 16 to 18

years of service. This is highly demotivating. Similarly, views have been expressed that the system caters more to the organisations' needs than the individual.

In addition, the following mentioned points about the present appraisal system have drawn lengthy discussions :-

- (a) The number of qualities assessed on the appraisal form.
- (b) Self appraisal based performance appraisal system .
- (c) Assessee's knowledge about his position in the organisation as well as assessment by the rater.
- (d) Although the system indicates clearly the needs of training to officers on performance appraisal and counselling skills, but the number of officers trained each year are very less which suggests a fresh look on the problem.

The above mentioned facts have encouraged me to undertake a study on performance appraisal system in the IAF.

1.3 RESEARCH OBJECTIVES

The main objectives of the study are :-

- (a) To study systematically the present state of the performance appraisal system in the IAF.
- (b) To identify the problems with the PAS as perceived by the IAF Officers.
- (c) To compare the perception of different levels and branches of the officers on the PAS.
- (d) To examine the satisfaction level of officers with the existing performance appraisal system.

★

(e) To suggest changes in the present PAS of the IAF.

1.4 PLAN OF THE THESIS

It is said that "Appraisal and development is like the weather everybody talks about it, but nobody does much about it". This has encouraged me to undertake the study on performance appraisal system in the Indian Air Force. A brief outline of the thesis follows.

In chapter II, the literature on performance appraisal has been reviewed. It covers the appraisal evolution, role played by the PAS in an organization, aim of a good appraisal system and different problems faced by an organisation in implementing the PAS. Since all appraisals are based on evaluation of one individual by another/others, it is perhaps difficult to totally eliminate the element of subjectivity. Therefore, a clear understanding of the inhibitors to appraisal is necessary before we can think of the steps to overcome them. This is discussed under inhibitors and errors in appraisal. The various techniques of appraisal have also been discussed in this chapter. The literature survey helped me in identifying the research goals which finally proved useful in framing the research objectives.

Chapter III describes the research methodology appropriate for the research questions identified earlier. It also discusses various steps taken for the design of the questionnaire which was finally used as a data collection tool. Various issues concerned with sample design and the data collection have also been discussed in this chapter.

Chapter IV provides a brief discussion on the Indian Air Force and the importance of appraisal in the IAF. Here a detailed description of the IAF appraisal system has been given, covering various issues like history of appraisal, purpose, occasions of use, various policies and practices followed.

Chapter V describes various statistical techniques adopted for the analysis of the data. Here, a brief discussion about the codification of questionnaire and the responses received has also been made.

Chapter VI discusses the findings of the analysis. The inferences drawn from these findings and the various measures suggested to overcome the drawbacks prevailing in the system, have been discussed at length.

The last chapter discusses the various conclusions drawn from the study. It also brings out the limitations of the study and the scope for future work.

NOTES

1. In general wherever masculine prepositions or nouns such as he, him, man, etc. have been used, one means actually both the genders. They have been used only to maintain the flow of the writing and for the sake of convenience.

CHAPTER 2

PERFORMANCE APPRAISAL :- A LITERATURE REVIEW

2.1 EVOLUTION OF THE CONCEPT

The concept of performance appraisal formally originated from the job evaluation studies initiated in the early 1920s. These studies aimed at rationalization of salary administration by rating various jobs on some identified components and assigning monetary values to them. A transition from evaluating jobs to evaluating people followed, with a view to control their performance on the job. (Srinivasan, 1994).

The Taylorian principles of scientific management added thrust to such a rational approach of measuring individuals' performance in a systematic manner. After the first world war, the advent of industrial psychologists into the field of management, saw an increasing emphasis on identifying individual differences between people, based on which the fit between the worker and the job was assessed (Hollway, 1991). The basic orientation was that of controlling individuals' performance, cost and maximizing productivity. The human relations approach which emerged after the Hawthorne experiments, helped to bring in a realisation that performance appraisals could be used as a systematic tool to communicate, develop and motivate workers apart from being a control mechanism. However, balancing the control and developmental objectives of performance appraisals has been a major issue for research and practice, which is yet to be resolved satisfactorily. Of late there is a definite

interest, among researchers and practitioners to use performance appraisal as a mechanism which would help to focus on attitudinal and behavioural characteristics of the employees (Townley, 1989).

2.2 DEFINITION

Performance appraisal can be done in two ways, formal systematic way or in a casual unsystematic way. Even today, in many Indian organisations formal performance appraisals do not exist for workers and often only managers are subjected to a formal appraisal process. With the increased importance of concepts of scientific management, the situation is changing rapidly. As a result a large number of companies are changing to formal appraisal system. There are numerous ways of defining performance appraisal but in simple words the appraisal system is defined as the systematic evaluation of individuals with respect to their performance on the job and their potential for development. (Beach, 1985)

2.3 ROLE OF PERFORMANCE APPRAISAL IN ORGANISATIONS

Performance appraisal from a conceptual viewpoint, must play a central role in forming the basis for a range of Human Resource Management (HRM) decisions and systems of an organisation. Tichy, Fombrun and Devanne capture the role of appraisal aptly as shown in Figure No. 2.1 (Srinivasan, 1994).

The Human Resource Cycle

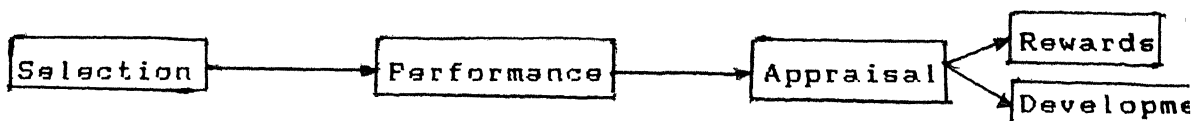


Fig. 2.1, Source: Srinivasan, 1994

Here, performance is viewed as the dependent variable, being a function of other HRM components, viz. Selection, appraisal, rewards and training and development. It is also admitted by Trichy et al. (1982) that the organisational context and resources surrounding the individual also determine his performance.

Appraising performance becomes crucial, based on which various HRM decisions are taken. Barrette (1966) categorizes three main purposes of performance appraisal which are :-

- (a) Administrative decision i.e, promotion, transfers and allocation of financial rewards.
- (b) Employee development i.e, identification of training and development needs.
- (c) Performance feed back and personnel research i.e, generation of manpower information.

A study by Sprigel and Plummer (1961) reveals that besides salary and wage determination performance appraisal is also used for training and development, career planning, man-job matching, helping supervisors know their subordinates, making the employees know their achievements and failures, promotions etc. Similar views have been expressed by Williams et al (1977), who note the use of performance appraisal for two broad purposes, viz purposes that relate to the individual such as where the employee stands and how he/she can improve and develop, and the purposes that relate to the organisation needs such as salary review, transfers and promotions.

Thus, performance appraisal in an organisation plays three crucial roles : an evaluative role, a communicative role and a developmental role. The conventional role of performance appraisal has been the evaluative one, wherein employees are evaluated on their performance vis-a-vis the organisational objectives. The results of the evaluation would form the basis for decisions on employee's pay, promotions and related issues like transfer or punishment. The excessive concern in the past for the evaluative role has been cited by many authors, to be a major cause for the discontent with performance appraisals. (McGregor, 1957; Meyer, Kay & French, 1965). McGregor (1957) finds a fundamental psychological conflict in manager's mind when using performance appraisal to evaluate subordinates.

The evaluative role puts those being appraised into a defensive mode wherein, people tend to either justify their performance or attempt to rationalize it by recourse to environmental constraints. Modern emphasis on the communicative and developmental role of performance appraisals is the result of the search for alternative designs of performance assessment. combining the evaluative and development functions is seen to be inherently conflicting, as the assessor is required to play the role of judge and counselor simultaneously.

The conflicting nature of the evaluative and developmental roles is well researched and documented by Meyer, kay and French (1965) wherein they recommended that salary discussions be held separately from discussions aimed at performance improvement and development.

2.4 LITERATURE SURVEY PERTAINING TO OBJECTIVES OF THE STUDY

This section presents a review of literature to highlight the following :

- (a) Aim of a good performance appraisal system
- (b) The major problems which make the appraisal system ineffective
- (c) Strategies that make performance appraisal system more meaningful.

2.4.1 Objectives of a Good Performance Appraisal System (PAS)

A number of studies have focussed on what a good performance appraisal system should be. McGregor (1966) advocates that a performance appraisal system must address itself not only to the organization needs, but also to the needs of individuals. According to McGregor, a good performance appraisal system must follow a humanistic approach and not merely a legalistic or mechanistic approach. Silverman and Monnessa (1976) suggest that a performance appraisal system should aim at harmonizing the goals of the organization and its employee. The Administrative Reforms Commission (1969) voices scepticism about the character and format of the existing performance appraisal system in India. The commission observes that the present format emphasizes more on the man and his qualities, rather than his job & performance. Latham and Wexley (1981) stated that an ideal performance appraisal system would combine information from multiple sources to form an integrated assessment that maximizes the strengths and minimizes the weaknesses of individual

information sources.

2.4.2 Major Problems with PAS

There are numerous studies which have examined the major problem areas relevant to non-effective use of performance appraisal. Taft (1971) believes that accuracy of performance appraisal depends upon the rater's motivation to rate accurately, the relevance of job items to be evaluated and the rater's ability to accurately evaluate the ratee's behaviour. Davis (1974) highlights, how out of the two purposes of performance appraisal-interview, salary review and employee development, the later gets diluted as a result of the faulty interview process. Key, Meyer and French (1965) point out the deleterious effects of combining the issues of salary and employee development in the appraisal interview. Gellerman (1976) observes that appraisals tend to be less accurate when they are made for administrative purposes than when they are made for employee development and personnel research. Cherrington and Cherrington (1974) are of the view that the rater's own values of what is good or bad contaminates the accuracy of the performance appraisal. Vagul (1975) concludes that in Indian banks, the performance appraisal system is not linked to performance of the employee on the job. It leaves much scope for the rater's personal biases and suffers from ignorance on the part of ratee on how he is rated. Dayal (1979) examines the existing performance appraisal system in the public sector in India and reports that these systems over-emphasize personality traits and under emphasize potential for future growth. Besides, there is hardly any performance

appraisal interview. Mazumdar (1978) noted that in India we are still using the old British system and old forms with few changes here and there.

Dalton and McFarland (1968) conclude that there are three general classes of pitfalls and obstacles involved in the trait rating approach. They are (i) Psychological blocks (ii) Criterion problems (iii) distortion of facts. Smith and Kendall (1963) point out that the faulty rating format results in near impossibility of obtaining accurate appraisals of the employee's job. Dayal (1969) refers to raters' resistance to judge people as another problem vitiating performance appraisal. According to Newstorm (1974), inadequately trained supervisors and non-cooperative subordinates are other problems in performance appraisal. Niazi (1976) reports that there is a tendency among raters to play safe because of anxieties aroused by the appraisal task. Also, there are anxieties on part of the assessee such as : will the superior be fair and just? What does the superior expect ? In the face of these anxieties, assessees tend to behave in such a way as to please the boss. Mandell (1956) and Klores (1966) have examined the effects of raters' age on performance rating. Mandell found that younger supervisors were less lenient in their ratings of subordinates. Also, the raters who were low in self confidence were less lenient in their ratings of subordinates than raters high in self confidence.

2.4.3 Strategies to Make PAS More Effective

There have been many studies on organizational strategies for overcoming the above mentioned problems. Lawler (1967) favours the use of multi-rater systems over uni-rater system for reducing the rater biases. Barrett (1966), Campbell et al (1977), French (1974), Haynes (1970) and Schneler (1977), recommend the use of many raters (subordinate, peer superior). Kellegiam et al. (1953), Brown (1968), Latham et al. (1965) and Burnardin et al (1977) highlight the need for training of raters to obtain accurate appraisal. Cummings and Schwab (1973), Campbell et al (1974) suggested the need for a change from traditional trait-based format to the behaviour based format. Bhatia (1974) recommends employee participation in developing the performance appraisal format. Decotis (1977) believes that if raters are held accountable for their ratings, it may help to increase the accuracy. Dayal (1979) recommends the use of performance appraisal interview. Heneman (1974) shows that self rating poses less leniency and halo error than supervisors rating. Wexley, Sanders and Yuke (1973) found that extensive training was effective in reducing rating errors. Bayroffe, Haggerty and Rundquist (1954) examine the validity of ratings as related to rating techniques and conclude that the graphic rating scales are more acceptable to ratees than the forced distribution scales, even though both techniques are equally valid. Campbell et al. (1973), Duffey and Webber (1974), and Millard, Withans & Otterman (1976) prefer the relative rating system and behaviour based rating scales. Caroli and Schanneier, (1982) recommend the

use of self appraisal in traditional performance appraisal system. According to him the several potential advantages of self appraisal are

- (1) Self appraisals not only increases the ratee participation, they also give ratees a greater sense of control over performance evaluations. This increased participation and feeling of control are typically associated with increased satisfaction and acceptance of appraisal results.
- (2) Self appraisals often contain less halo error than supervisory ratings and thus, are more discriminating across performance dimensions. Self appraisals are particularly valuable where ratees work in isolation or possess a rare skill since they are likely to possess more information about their performance than any other sources. H. John Bernardin (1993) recommends the use of upward appraisal to achieve the effective performance appraisal. According to him the use of upward appraisal achieves the following objective:

The attitudes of supervisors towards the subordinate appraisal in general will be more positive after supervisors receive both subordinate and superior appraisal feedback compared to attitudes expressed by the supervisors who do not receive subordinate appraisal data.

The structural characteristics of organisations in terms of authority, job structure, organizational design have an impact on the design and implementation of performance appraisal systems. The structure of an organisation would determine whether the appraisal system should be centrally controlled or

not, or whether there should be a formal system or a flexible, decentralized system (Fletcher and Williams, 1985). If jobs are clearly structured with tasks and responsibilities clearly identified, then ambiguity in performance objectives, measures and assessment of results are probably reduced and hence, the appraisal system can be more effective in realizing its objectives (Kane and Lawler, 1979).

2.5 ERRORS AND BIASES IN APPRAISAL ¹

Human judgement is all too often subject to the influence of bias, prejudice and other subjective and extraneous factors. The problem of obtaining objective and accurate assessment uncoloured by these influences is very difficult. However, it is helpful if the appraiser is aware of the likely errors in appraisal and takes precautions against them.

Errors in appraisal are broadly classified under the following two categories :-

- (a) Constant errors
- (b) Rater errors

2.5.1 Constant Errors

These are of the following types:

(a) **Errors of Leniency** : Every appraiser tends to carry around his own built in standard or frame of reference which he uses in making performance appraisal judgement. While using their individual frames of reference, some appraisers might be lenient while others might be strict or harsh. The following measures on the part of the appraiser can reduce the errors of leniency :-

(i) While giving numerical gradings, the appraiser should always refer to the definitions of attributes to be rated.

(ii) Also, the appraiser should refer to the graded descriptions of the performance behaviour on different grades of the scale.

(iii) The leniency error can also be controlled by forced distribution of gradings on different points of the scale.

(b) **Halo Effect** : The halo effect occurs when a rater rates an appraisee high or low on all items because of one characteristic. It is most likely to occur if the attributes

- (i) Are not easily observed.
- (ii) Are unfamiliar to the rater.
- (iii) Are not easily defined.
- (iv) Involve inter-personal relations.

The remedy against these errors lie in being aware of them and to rate different individuals attribute-wise, instead of rating the same appraisee on all the attributes together. This error can also be avoided by referring to relevant considerations for each attribute while making evaluations.

(c) **Contrast and Similarity Errors** : In a contrast error, there is a tendency on the part of the rater to judge others in a manner opposite to the way in which he perceives himself. Thus for example, if he perceives himself as very honest, his tendency would be to rate others slightly lower than his perceived self on the 'honesty' variable. The opposite of contrast error is the similarity error in which the appraiser rates others in the same

way as he perceives himself.

(d) **Central Tendency Error** : In some cases there may be reluctance on the part of raters in making extreme judgements about others even when these are deserved. This results in their sticking to the central portion of the rating scale. This kind of error causes a restriction of the usable range of rating scale. One remedy against this error lies in the raters learning to discover and discriminate between the different shades of performance and overcoming their reluctance against giving extreme ratings where deserved. Another remedy lies in adopting the forced distribution as per statistical norms.

(e) **Proximity Error** : This error emanates from the way in which various attributes have been listed on the appraisal form. The error results from the influence of the rating on preceding attributes on the rating on the following attributes. The common procedure for minimizing this error is to have the attributes rated one at a time and in isolation from one another.

2.5.2 Rater Errors

These are of the following types :

(a) **Causes** : These errors arise from many causes based on the personality of the rater, his grooming into organisation, his experience, maturity and character. These errors manifest in the shape of prejudices and biases about which the appraisee is often not conscious or aware.

(b) **Stereotyping** : Some raters suffer from a feeling that a certain class of people like direct entrants, officers of one's own branch, persons from one's own community, religion, caste or

state are superior to others. Guided by these feelings the rater mistakenly tends to rate the group high. Thus he forms in his mind a stereotype of a group and aligns the appraisee with one of the various stereotypes he has formed in his mind about various groups. This is the worst type of a bias an appraiser can suffer from.

(c) **Recency Effect** : The recency problem occurs in appraisal when recent occurrences are given greater weight than earlier performance. This is an understandable rater error because of the difficulty in remembering performance that may be seven or eight months old. Also employees become more concerned about their performance and behaviour as formal appraisal time approaches. Some appraisees take advantage of this by 'apple polishing' their boss shortly before an appraisal is to be completed. Such a bias can also occur if the appraiser gives undue importance to some single instance of good or bad work and thus makes assessments disproportionately for the performance during the whole period of report.

(d) **Extent of Work/Non-Work Contact** : Subordinates who have greater work contact may be judged differently from those who have less contact. As a corollary to it, subordinates who have more non-work contact with the appraiser may be judged differently from those who have less such contact.

(e) **Incorrect Logical Deductions** : An appraiser may be favourably biased towards a subordinate who is never late in the office and thus is considered hard working. Such a deduction, though appears to be logical may not be correct. While assessing

such subordinate, the appraiser should take into account the quality, quantum, the nature of work and the time frame and make a balanced assessment.

(f) **Social Bias :** Social standing of the subordinate in work and non-work areas may bias the appraiser in his assessment. Subordinates with similar socio-cultural background may be judged differently from subordinate with a different background, and this may hinder objective assessment.

(g) **Consistency Bias :** If an appraiser has rendered an earlier report on the appraisee, he may hesitate to make any major deviations in his assessment from the previous report for the fear of contradicting himself, even though his opinion may have changed genuinely due to the improved or deteriorated performance of the appraisee during the period of report.

(h) **Suffered Boss Prejudice :** Appraisers who have suffered rightly or wrongly, due to their own appraisal reports, sometimes tend to compensate their frustration by giving inflated reports to their subordinates regardless of merit and objectivity. Some superiors, on the other hand, may direct their frustration into victimising their subordinates. An objective and unbiased appraiser should carefully avoid such pitfalls.

2.6 PERFORMANCE APPRAISAL METHODS

2.6.1 Approaches to Appraisal²

Over the years quite a variety of techniques have been created to appraise employees. These techniques can be classified according to the concept underlying each method. These approaches are as follows :-

(a) **Comparison Against Standards** : The standards can consist of descriptions of various levels of behaviour or the standards can consist of numerical scales. Examples are the various types of rating scales and check lists.

(b) **Interpersonal Comparisons** : The ratee is ranked against others in the same job or department on a global or overall basis. No written standards of performance are used.

(c) **Setting Of Goals** : Each individual's performance is compared against his or her agreed upon objectives. This is the management by objectives method.

(d) **Free-form Essay** : Performance is described and compared against generalized standards existing in the mind of the rater.

(e) **Direct Performance Measures** : Direct counts of output, quality, attendance, etc are used. This approach tends to be combined with some of the other approaches such as comparison against standards, management by objectives, etc.

2.6.2 Appraisal Methods³ : The various methods in use are listed below :

(a) **Graphic Rating Scale** : Graphic rating scales are probably the most widely used performance appraisal tools since they are relatively easy to develop and use. Here, the chart lists a number of traits (such as quality and quantity) as well as a range of performance (from Unsatisfactory to Exceptional) for each trait. Each subordinate is rated by circling or checking the score that best describes his or her level of performance for each trait. The assigned values for each trait are then added up and totalled.

(b) **The Alternation Ranking Method** : Another popular and simple method for evaluating employees is to rank them from best to worst on some trait. Since it is usually easier to distinguish between the worst and the best employees than to simply rank them, an alternation Ranking method is the most popular. First, list all subordinates to be rated and then cross out the names of any not known well enough to rank. Then, on a form as shown below, indicate the employee who is the highest on the characteristic being measured and also the one who is the lowest. Then choose the next highest and the next lowest, alternating between highest and lowest until all the employees to be rated have been ranked.

LAYOUT OF APPRAISAL FORM - ALTERNATION RANKING METHOD

| Rating - Ranking Scale | |
|------------------------|-------------------|
| Column 1 (Most) | Column II (least) |
| 1. | 6. |
| 2. | 7. |
| 3. | 8. |
| 4. | 9. |
| 5. | 10. |

Source : Gary Dessler, Personnel Management

(c) **Paired Comparison Method** : The paired comparison method helps to make the ranking method more effective. for every trait (quantity of work, quality of work, etc) every subordinate is compared to every other subordinate in pairs. Suppose there are five employees to be rated. In the paired comparison method the supervisor makes a chart as shown below, of all possible pairs of employees for each trait. Then for each trait indicate (+ or -) who is the better employee of the pair. Next, the number of

times an employee is rated better is added up. A person who gets maximum (+) is rated highest and similarly a man who gets min + is rated lowest for the given trait. The same exercise is carried out for each trait.

ATTRIBUTE CHART USED IN PAIRED COMPARISON METHOD

| | | | | |
|----------------------|-----------|---|---|---|
| Trait = "Initiative" | | | | |
| As compared to | Man Rated | | | |
| A | A | B | C | D |
| | | + | + | + |
| B | + | | + | - |
| C | - | - | | - |
| D | + | - | + | |

Ranks
highest

Source : Gary Dessler, Personal Management

(d) **Forced Distribution Method** : This method has been designed to prevent supervisors from clustering their employees at the high end of the scale. Clustering at high end has been a persistent problem, as was seen in performance rating of military officers in the US armed forces (Beach, 1986). This method also avoids clustering around the mid point, as occurs often in organisations. This method is similar to grading on a curve. With this method, predetermined percentages of ratees are placed in various performance categories. For example, a rater is required to distribute employees as follows :-

15% High Performers
20% High Average Performers

30% Average performers.
20% Low Average performers.
15% Low performers.

(e) **Check list :** One of the newer types of systems is the check list. The rater does not evaluate employee performance, he merely reports it. The evaluation of such reports is accomplished by the personnel department. A checklist could be either unweighted (no score assigned to each statement) or weighted. The weighted technique is the more useful of the two methods. A weighted check list contains a large number of statements which describe various aspects of behaviour that can occur in the job for which it has been designed. Each statement has a weightage or score attached to it. In appraising an individual's performance, the rater checks those statements which accurately portray the behaviour of the employee. Generally the check list given to the rater does not show the item weights. The scoring is done in the personnel office. The weighted check list makes the supervisor think in terms of very specific aspect of behaviour. However, the method is costly to install because a separate list must be constructed for every job or job family.

(f) **Forced Choice Description :** One of the fundamental objectives of the forced choice approach is to reduce or eliminate the possibility of rater bias by forcing him to choose between descriptive statements of seemingly equal worth. These statements are used to discriminate between good and bad lot. Here the rater is forced to select one out of the two given statements both for a desirable trait as well as for adverse statements. For each pair of statement, there is only one correct answer as far as the rating process is concerned. Here the

scoring key must be kept secret from the raters, otherwise the system will lose its validity. Besides this, system is not very effective if employee development is to be emphasized. Also, raters often object to being forced to make decisions.

(g) **Critical Incident** : The critical incident method is slightly different from the previous methods because it is more of a recording of employee actions than an actual rating. The rater keeps a written record of the highly favourable and highly unfavourable actions in an employee's performance. A list of critical incidents is kept during the entire rating period for each ratee. Because the critical incident method does not necessarily have to be a separate rating system, it can be used with other methods as documentation of the reasons as to why an employee was rated in a certain way.

(h) **Behaviour Anchored Rating Scale (BARS)** : A BARS system is designed to overcome the problems of category methods by describing examples of good or bad behaviour. These examples are anchored or measured, against a scale of performance levels.

Construction of BARS : Developing a BARS usually requires five steps :-

(i) **Generation of critical incidents** : Persons with knowledge of the job to be appraised are asked to describe specific illustrations (critical incidents) of effective and ineffective performance behaviour.

(ii) **Developing performance dimensions** : The people developing the BARS then cluster these incidents into a smaller set (Say five or ten) of performance dimensions. Each cluster (dimension) is then defined.

(iii) Reallocation of incidents : Another group of people who also know the job then reallocate the original critical incidents. They are given the cluster's definitions and critical incidents, and asked to reassign each incident to the dimension it best describes.

(iv) Scale the incidents : This second group is generally asked to rate (7 or 9 point scales are typical) the behaviours described in the incident as to how effectively or ineffectively it represents performance on the appropriate dimension.

(v) Developing Final Instrument : A subset of the incidents (usually 6 or 7 per clusters) are used as 'behaviour anchors' for the performance dimensions.

(j) **Management By Objective (MBO)** is a form of performance appraisal because it involves the establishment of performance objectives and an assessment of how well those objectives are fulfilled. MBO includes the following steps :-

(i) The subordinate (ratee) proposes the goals for the next time period.

(ii) The subordinate and the superior (rater) discuss modify and reach an agreement regarding the specific nature of the goals.

(iii) Periodic formal and informal reviews regarding progress and problems associated with achieving the goals.

(iv) The cycle is repeated.

MBO system permits frequent evaluation and perhaps more importantly, enables the ratee to become involved in the

appraisal process. MBO may be less useful if rewards such as pay raises and promotions are made using appraisal results. Furthermore, MBO is less likely to be used in non-managerial or jobs where ratee goal setting is not feasible.

2.6.3 Advantages and Disadvantages of Appraisal Tools⁴

The advantages and disadvantages of the various methods of appraisal have been put in a tabular form as shown below.

APPRAISAL METHODS - ADVANTAGES AND DISADVANTAGES

TABLE 2.1

| Method | Advantages | Disadvantages |
|----------------------------|---|---|
| Graphic Rating scale | Simple to use ; provides a quatitative rating for each assessee. | Standards may be unclear halo effect, central tendencies, leniency bias can also be problems here |
| Alternation ranking | Simple to use (but not as simple as Graphic rating scale. Avoids central tendency and other problems of rating scales. | Ranking may still not be precise. |
| Paired Comparison | Results in more precise ranking than does alternation ranking | More difficult than ranking method. |
| Forced distribution method | Here you end up with a predetermined number of people in each group | Your appraisal results depend on the adequacy of your original choice of cut-off points. |
| Critical incidence | Helps specifying what is right and wrong about the ratee's performance. Forced appraisers to evaluate subordinates on an ongoing basis | Difficult to rate or rank subordinates relative to one another. |
| BARS | Participation of employees in developing the BARS should lead to a more accurate gauge. Better feed back and rater independent | Very difficult to develop Time consuming and expensive |

NOTES

1. This section has been written by consulting the following references :
 - a. Appraisal Manual, IAF,
 - b. Beach (1985),
 - c. Leap and Crino (1991) and
 - d. Dessler (1981).
2. Please see Dessler (1981) for further details
3. Following books/manual have been referred for writing the section 2.6.2.
 - (a) Beach (1986), (b) Leap and Crino (1991), (c) Dessler, (1981) and (d) Appraisal Manual, IAF.
4. Dessler, (1981) in his book has given the advantages and disadvantages of various appraisal methods. This has been the main source for writting them in a tabular form.

CHAPTER 3

RESEARCH QUESTIONS AND RESEARCH DESIGN

3.1 RESEARCH QUESTIONS

The main objectives of the study are

- (a) To Study systematically the present state of the performance appraisal system in the IAF

Under this objective the following areas have been covered :

- (i) History of performance appraisal in the IAF
- (ii) Objectives of performance appraisal system (PAS) in the IAF
- (iii) Policies regarding occasions for raising reports, reporting channel, performance counselling, filling reports, etc
- (iv) Practices/procedures followed for appraisal reports
- (b) To identify the problems with the PAS as perceived by the IAF Officers.
- (c) To compare the perception of different levels and branches of the officers.
- (d) To examine the satisfaction level of the IAF officers with the existing performance appraisal system

This will tell how an individual looks at the system in achieving its objectives i.e, promotion, placement, assessing training & development needs, selection for important courses and selection for postings abroad. Feedback on this aspect can help in thinking more constructively to improve the system.

(e) To suggest changes in the present PAS of the IAF

3.2 RESEARCH METHODOLOGY

Since the system has already been functioning in the organisation since 1947 and has undergone a thorough revision in 1981, it became all the more important to find the limitations of the system that have necessitated this review. This was found out by conducting interviews with the users. Preliminary interviews were carried out with a section of serving officers of various units and branches with a view to find out the difficulties they come across while dealing with the system. Nearly 30 officers were interviewed who gave their opinion on various aspects of PAS in a frank and forthright manner. The units that were visited for this purpose were, Air Force Station Kanpur, Air Headquarters (Vayu Bhawan), Air Headquarters (R.K. Puram). Their valuable views on the approaches like self appraisal system, appraisal counselling, appraisal workshops, etc were also taken. This exercise has helped in the later stages in identifying the areas requiring special attention while designing the questionnaire.

3.2.1 Opinion Survey in the Organisation

Because of the time constraint it could not have been possible through the interview technique to cover a fairly large cross section of officers at different places. Further, the small no. of officers interviewed could not be considered as full representation of the views of the organisation at large. Therefore, a detailed questionnaire covering all the objectives

of the study was designed for testing it on the officers from senior flight lieutenant to Air Cmde covering all the branches. Officers below six years of service have not been considered because of less service experience. Similarly officers from AVM to AM could not be considered because of less strength and their busy schedule. It was planned to cover nearly 300 serving officers from various Air Force units engaged in flying and ground operations.

3.2.2 Questionnaire as a Method of Survey Research¹

The mail questionnaire is regarded as an impersonal survey method. Keeping time constraint in mind the method was slightly modified in the sense that instead of mailing the questionnaire to respondents, it was distributed personally to them and then collected thereafter. This exercise has achieved two main objectives

- (a) Saved time for collection of the response

- (b) resulted in to a high response rate

The system has the following advantages which has favoured its use.

- (a) **Lower cost** : It is cheaper than personal interviewing. It does not require a trained staff of interviewers. The processing and analysis are usually also simpler and cheaper than those of the personal interview. Further for a population, widely spread geographically as the case with IAF this method suits the most. In the present study, only the units located nearby Kanpur were covered to generate the sample.

(b) **Reduction in biasing error** : The second major advantage of the questionnaire is that it reduces biasing errors that might result from the personal characteristics of interviewers and from variabilities in their skills. There are many possibilities for bias in a personal interview situation that may arise because of the nature of the personal interaction between the interviewer and the respondent. This can be completely avoided with a questionnaire.

(c) **Greater anonymity** : The third advantage, greater anonymity, is also associated with the absence of an interviewer. PAS is such a sensitive issue that people generally avoid discussing it specially if the researcher is from the same organization. This aspect was taken care of by using the questionnaire method.

(d) **Considered answers and consultations** : Questionnaires are also preferable when questionnaire demands a considered (rather than an immediate) answer or if the answer requires consultations of personal documents or of other people.

(e) The main disadvantage of the questionnaire of low response rate has been taken care of by distributing the questionnaire personally to officers and collecting there after.

(f) In this method as the questionnaire was distributed personally the doubts raised by the respondents could be personally clarified.

(g) The researchers' nine years of experience with the organization has developed the sufficient knowledge and

understanding of the PAS and the organization which helped in designing the questionnaire which would have been a difficult task otherwise.

3.3 QUESTIONNAIRE DESIGN

In order to achieve the objectives of the study a data collection tool was designed, which helped to draw the opinion of large no. of officers on various aspects of the study. The questionnaire was designed into three parts (copy is attached in Appendix 'A').

The first part of the questionnaire deals with issues concerned with problems of PAS as perceived by the officers. After making a through study the probable problem areas in the PAS were identified by the researcher. These were then framed in the form of statements. In this part a total of 13 statements have been mentioned which are the probable problems in the PAS. Here, the respondents were asked to give their opinion whether they agree or disagree with the statements. In case a respondent agreed, he was asked to mention the criticality of the statement for the effectiveness of PAS. This helped us to find out the factors with their degree of criticality towards ineffectiveness of PAS. Subsequently these factors were dealt more seriously by developing suitable strategies with the sole purpose of improving the effectiveness of performance appraisal system.

Part II of the questionnaire elicits opinion on the level of satisfaction with the present performance appraisal system as well as with its various objectives. The satisfaction level has been judged on a five point rating scale.

The part III asks views of the respondents on few suggested changes on the PAS which are not present in the current appraisal system used in the IAF.

3.4 DEVELOPMENT STAGES OF QUESTIONNAIRE

3.4.1. Conceptual Stage

A detailed study of the current policies on the performance appraisal system as well as a series of discussions with Personal staff officers at Air Head Quarters has helped me to develop an understanding of the present system. This helped me to ask questions on the system which in later stages took the shape of the final questionnaire. Literature survey has shown me the work done in the recent past on the various aspects of the performance appraisal system. This helped me in developing my understanding about the concepts and areas which are new to IAF appraisal system. With this much backup of information and material plus my nine years of experience with the organisation, I could design a questionnaire covering all the aspects of my study.

3.4.2 Pilot Study

The designed questionnaire was then taken to field to carry out the pilot study. The units covered for the pilot study were Air Force Station Kanpur and Air Head Quarters (Vayu Bhawan). The filled questionnaires were collected from 15 respondents. Based on their answering pattern and some useful discussions with the senior officers, the said questionnaire was modified into the one which was finally used as a data collection

tool.

3.5 SAMPLE DESIGN

3.5.1 Sampling Technique

Stratified sampling technique has been used to find out the sample size. The population (serving officers from Flt Lt to Air Cmde) was divided into two categories on the basis of various hierarchy levels existing in the IAF. The selection of the respondents was done on a random basis but stratified as per two categories and in each category as per branch, so that the views obtained can be considered as fairly representing at least two hierarchy levels and different branches under each hierarchy level.

3.5.2 SAMPLE SIZE

A sample size of 300 serving officers with ranks varying from Flt LT to Air Cmde consisting of all the branches was considered statistically adequate for making accurate statements about the population. Based on the actual strength of officers in various levels and different branches the stratified sample distribution used for the study was made. The same is shown in Table 3.1

PLANNED SAMPLE DISTRIBUTION

TABLE 3.1

| Non-Technical Ground Duty | | | | | | | | |
|---------------------------|--------|-----------|-----------|-------|-------|-----|-----|-------|
| Branch | Flying | Technical | Logistics | Admin | Accts | Met | Edn | Total |
| Category | | | | | | | | |
| Flt Lt to Sqn Ldr | 45 | 50 | 20 | 20 | 15 | 10 | 5 | 165 |
| Wg Cdr to Air Cmde | 40 | 50 | 15 | 10 | 10 | 5 | 5 | 135 |
| Total | 85 | 100 | 35 | 30 | 25 | 15 | 10 | 300 |

Here, all the non technical ground duty branches i.e. Administration, Logistics, Accounts, Meteorology, and Education have been clubbed into one category known as **Non-Technical Ground Duty Branch**. This has been done to take care of the branches which in our planned sample were not having sufficient data to analyze statistically. Secondly it makes the analysis easier.

3.5.3 Categorization of the Sample

The total sample has been categorized in two ways in order to carry out the analysis

(a) Rank

(b) Branch

(a) **Rank** : To carry out the study, officers from the rank of senior Flight Lieutenant (with > 6 yrs of service) to Air Cmde constitute the entire sample. The entire sample (212 officers) is divided into two categories i.e, Cat 1 consisting of officers from Flt Lt to Sqn Ldr and Cat 2 consisting of officers from Wg Cdr to Air Cmde. The basic reason of dividing the entire sample into two categories is that in the present appraisal system, the

IAF has divided the entire officers strength into 3 categories i.e, Cat 1 upto Sqn Ldr, Cat 2 from Wg Cdr to Air Cmde and Cat 3 AVM to AM. Accordingly, for the 3 categories, IAF uses 3 different appraisal forms. In this study Cat 3 was not considered due to insufficient data and therefore this study was restricted upto two categories.

(b) **Branch** : The officers corps of the Indian Air Force is divided into various branches as follows.

- (i) Flying : Pilots and Navigators
- (ii) Aeronautical Engineers : Mechanical & Electronics
- (iii) Non-Technical ground duty branches : Administration
Logistics, Accounts, Meteorology, Education and
Medical

Accordingly, for this study the entire sample is divided into three categories as given below.

- (i) Cat III : Flying
- (ii) Cat IV : Technical
- (iii) Cat V : Non Technical ground duty

3.6 DATA COLLECTION

The data for the study was collected by circulating the questionnaire to officers of Indian Air Force from the rank of senior flight lieutenants to Air Commodore, covering all the branches viz Flying, Technical, Logistics, Administration, Education, Accounts and Meteorology. Researcher distributed the questionnaire personally to all the officers. The various units covered to undertake the survey are given below.

- (a) Air Head Quarters, (Vayu Bhawan)
- (b) Air Head Quarters, (R.K. Puram)
- (c) Central Servicing and Development Organization
- (d) Headquarters, Western Air Command
- (e) Air Force Station, Palam
- (f) Air Force Station, New Delhi
- (g) Air Force Station, Hindon
- (h) Air Force Station, Chakeri
- (j) Air Force Station, Agra

The criteria for selection of the above mentioned units were

- (a) Closer proximity to Kanpur which helped me to save time and money in collecting the responses
- (b) Availability of required no. of officers of all the branches and of required seniority as planned in the sample.

The respondents were not asked to fill the questionnaire on the spot. In most of the cases they were given two to three days time so that they could fill the questionnaire in their free time. Few of the officers objected to the filling of the questionnaire but then they were not forced to do it. The exercise was taken by the officers purely on voluntary basis to help me in carrying out the study. Total 300 questionnaires were circulated and at the end a total 212 questionnaires were returned. Thus, the response rate works out to 70.6 percent.

The category wise break up of responses is given below :-

CATEGORY WISE RESPONSE RATE

Table 3.2

| | Cat III | Cat IV | Cat V | | | | | Total |
|-----------------|---------|--------|-------|-----------|-------|-----|-----|-------|
| | Flying | Tech | Admin | Logistics | Accts | Med | Edn | |
| Cat I | 29/ | 38/ | 23/ | 16/ | 8/ | 3/ | 4/ | 121/ |
| Flt Lt-Sqn Ldr | 45 | 50 | 20 | 20 | 15 | 10 | 5 | 165 |
| Cat II | 26/ | 32/ | 13/ | 11/ | 4/ | 3/ | 2/ | 91/ |
| Wg Cdr-Air Cmde | 40 | 50 | 10 | 15 | 10 | 5 | 5 | 135 |
| Total | 55/ | 70/ | 36/ | 27/ | 12/ | 6/ | 4/ | 212/ |
| | 85 | 100 | 30 | 35 | 25 | 15 | 10 | 300 |

Note : A/B A : Actual response received
 B : Planned response rate

NOTES

- For further details please refer Nachmias and Nachmias (1985), who have discussed the advantages and disadvantages of various methods of survey in detail.

CHAPTER 4

THE INDIAN AIR FORCE AND PERFORMANCE APPRAISAL SYSTEM IN IAF

4.1 IAF AS AN ORGANIZATION

The Indian Air Force consists of approximately 1,25,000 persons in uniform, out of which approximately 12,000 are officers. The officers corps of the Indian Air Force is divided into various branches as follows :-

- (a) Flying : Pilots and Navigators
- (b) Aeronautical Engineers : Mechanical and Electrical.
- (c) Non-technical ground duty branches viz. Logistics, Administration, Accounts, Education, Meteorology and Medical.

A ten-grade hierarchy marks the pyramidical structure, as in the army and the Navy. The details of ranks, are as follows :-

- (a) Pilot Officer
- (b) Flying Officer
- (c) Flight lieutenant
- (d) Squadron Leader
- (e) Wing Commander
- (f) Group Captain
- (g) Air Commodore
- (h) Air Vice Marshal
- (j) Air Marshal
- (k) Air Chief Marshal

Promotions upto the rank of Squadron Leader are by time-scale subject to fulfilling the laid down eligibility conditions. Promotion to the rank of Wing commander is by 'selection' as well as by time-scale. Promotions beyond that rank are by selection only.

The officers corps is selected through a stringent process operated by the Union Public Service Commission and/or the service selection Boards. Officers are commissioned into the different branches after a period of rigorous training. The Indian Air Force operates some of the most modern and sophisticated equipment in the world. Further it requires constant induction of high technology equipment to remain current. Thus, this places high demands on its personnel to be abreast of the technology in order to operate it, maintain it and the obtain the best results, through efficient use.

4.2 APPRAISALS IN HUMAN RESOURCE DEVELOPMENT IN IAF

In the wide span of activities concerning human resource development in Indian Air Force, appraisal policies and practices constitute the single most important factor. The varying nature of manpower in terms of expectations, abilities, aptitudes, and keeping them together into a highly motivated fighting force of high moral is a formidable task indeed. The appraisal policies and practices virtually determine the structure of this force. The PAS assume a critical importance due to reasons as follows :-

- (a) To identify the training needs of individuals so as to match with the organisation requirements.

- (b) To determine placement policies in order to ensure proper job rotation, job enlargement and job enrichment for its personnel.
- (c) To ensure that an individual's potential is identified and used to its full capabilities.
- (d) To determine career development, career planning and succession planning of individuals such that right man with right skills is assigned the right job at the right time.
- (e) To develop the constructive mind and an overall personality of the employees.
- (f) To develop the sense of team spirit, team work and inter team collaborations.

4.2.1 Importance of Appraisals in IAF

For any organisation the importance of Appraisal system in Human Resource Development is well understood. However, there are some peculiarities of Indian Air Force which make the organisation to have more serious view and concern over the policies and practices of the appraisal system followed. Some of these are as given below :

- (a) **Variety of Tasks at same level** In Indian Air Force an individual may be required to perform various tasks at the same level of hierarchy. For example a Sqn Ldr of technical branch can be posted as a STO of flying Squadron, STO (Mechanical Transport), as a staff officer in formation HQs or as an instructor/ Directing staff at a Training establishment. The job

requirements are quite different in each of these appointments. Thus the selection of the right person for the right assignment is largely dependent on the performance appraisal of the individual. Further, measuring the performance of a person in comparison to other person of the same rank but on different assignment poses extra responsibility on the performance appraisal system.

- (b) **Lateral Induction** : Unlike corporate sectors there is no lateral induction in IAF. All the positions in the organisation structure are filled through internal promotions and placements. This poses an extra burden on the organisation to ensure that officers of different hierarchical position are available in right number at the right time.
- (c) **Varying Demands On Individuals** : The role requirements of individual during war time from peace time undergoes a considerable change. Thus an officer who performs well during peace time may not necessarily perform well during war time. This aspect can effect the organisations efficiency during actual war unless steps are taken to ensure that performance appraisal system takes this fact into account.
- (d) **Size of the Organisation** : The Indian Air Force has large number of branches and each branch has got variety of functions at different hierarchy level. Thus it is necessary to evaluate the requirement of

each skill both quantitatively and qualitatively at various levels of hierarchy. The performance appraisal system should take this fact into account so that each individual under any branch and under any function must feel himself a part of the system.

(e) **Promotion aspects** : Promotions at various levels of hierarchy take place purely based on the performance appraisal of an individual provided he is medically fit and meeting other requirements. Therefore, this aspect puts an extra burden on the performance appraisal system in evaluating the person correctly so that right person reaches the right position.

(f) Unlike other corporate sectors a person in the IAF is generally tied for a period of 20 years. The number of cases leaving the organisation other than on medical grounds are very less (< 1%). Moreover being a unique organisation the number of parallel organisations where an alternate employment could be found are very small. Therefore it puts an extra responsibility on the PAS to suitably consider the needs and requirements of the employees in order to have a highly motivating force.

4.3 DESCRIPTION OF THE SYSTEM¹

4.3.1 History of PAS

In Indian Air Force the appraisal system for officers was adopted from the Royal Air Force. It was first revised in 1953 and thereafter the appraisal policy in the Indian Air Force has been modified and refined from time to time. The latest

change in the policy, introduced in 1980, was a result of an in-house research carried out by a team of IAF officers under the leadership of Wg Cdr T R Sharma. It lasted three years and brought about wide ranging refinements in the policy. The current policy on appraisal Reports described below has been discerned by referring the Air Force order (2/90) as well as from numerous discussions with officers of personnel staff at the IAF Headquarters.

4.3.2 Purpose of Appraisal

The purpose of appraisal is to evaluate and record the performance of all officers and make use of the data for the optimum utilization of officer manpower resources for achieving organisation objectives. Appraisal reports form a record of an officer's ability and performance. These reports are extremely important documents as they form the basis for assessing the training and development needs of officers and for determining their suitability for promotion, placements, courses, deputation, extension of service, re-employment, etc.

4.3.3 Occasions for Raising the Appraisal Report

Appraisal reports are raised on the following occasions :-

(a) Annually for all officers

(b) On posting out of the appraisee from a unit provided no report has been raised on him in the past 5 months. (c) On posting out/retirement of the Initiating Officer (IO) provided no report has been raised on the appraisee in the past 5 months.

- (d) When there is a grave deterioration in the performance and conduct of an appraisee and an appraising officer in the reporting channel wishes to render an adverse report.
- (e) On release/retirement from service, if the appraisee has served under the IO for three months and no report has been rendered on him during the preceeding 3 months.
- (f) When specially called for by Air Head Quarters.

4.3.4 Applicability

For the purpose of rendering appraisal reports, officers are divided into three broad classes as follows :-

- (a) All officers from the rank of Pilot officer to Squadron Leader.
- (b) All officers of the rank of Wing Commander to Air Commodore
- (c) All officers of the rank of Air Vice Marshal to Air Marshal (ref. section 4.1)

For all officers upto the rank of Air Commodore there is a further subdivision into Flying branch and Non-flying branches. Content and forms for appraisal reports in respect of these two subdivisions are separate. However, there is no such distinction above the rank of Air Vice Marshal.

4.3.5. Forms And Contents Of Appraisal Report

Forms : In the present IAF appraisal system three sets of appraisal forms are used as per the following rank stgructure

- (a) Pilot Officer to Squadron Leader
- (b) Wing Commander to Air Commodore
- (c) Air Vice Marshall to Air Marshall

For the first two categories two different forms are used, one for Flying branch placed and other one for Ground Duty branch. The appraisal form used for Flying branch officer of cat I (Pilot Officer to Squadron Leader) is attached at Appendix B.

Contents : The report is divided into various parts as follows

(a) Part I : Personal Data

It gives information about the officer on whom the report has been raised. Details provided in this section are :

- (i) Full Name, Service Number, Branch and sub-branch
- (ii) Date of Birth, Commission, Rank (Both Acting and substantive)
- (iii) Decoration/commendations with the year of award
- (iv) Marital status
- (v) Present unit with date of posting and appointment.

(b) Part II : Qualification/courses

This part provides information on the qualification and courses undergone by the officer. This part is used by the Personal Staff Officer to decide about the postings, appointments, courses etc. of an officer. This also covers the Flying Data in respect of Flying branch officers only upto the rank of Air commodore.

(c) Part III : Appraisal

Appraisal upto the rank of Air Cmde. Assessment (for

Air Marshal)). Discussed in the paragraph 4.3.6

(d) **Part IV : Remarks of the Reviewing Officer**

The remarks in the narrative form, supplement the numerical gradings in flying and performance assessment made by the Reviewing Officer. Furthermore, this is an opportunity for Reviewing Officer to moderate the report of the Initiating Officer.

(e) **Part V**

Comments by Command Headquarters (upto Sqn Ldr) comments by Air Officer Commanding-in-Chief/Principal Staff Officer (for Wing Cdr to Air Cmde). Remarks of the chief of Air Staff (for Air Marshals).

(f) **Part VI**

Comments if any, by Air HQs (upto Sqn Ldr) Remarks, if any by CAS (for Wg Cdr to Air Cmde).

Part (e and f) facilitate the review of appraisal reforms.

4.3.6. Appraisal

This is the most important part of the Appraisal Report and consists of Sub-sections as follows :-

(a) Period and Frequency of contact between the appraiser and appraisee.

(b) Whether the appraiser and appraisee are co-located. Colocation is not to be interpreted as contiguity of office but the availability of the appraisee at the same Wing/station for affording easy contact no matter how far his section is from the office of the IO and RO.

(c) Flying certificate by the Initiating Officer to indicate whether the officer has opportunities for flying and whether he has made reasonable use of these and to certify the flying data given in the previous part (Applicable only for officers of flying branch upto the rank of Air Cmde).

(d) Flying assessment (Applicable for officers of flying branch upto Gp Capt and below on active flying duties).

(e) Performance assessment. It provides, various attributes on which the appraisee is assessed by IO's, RO's, SRO's.

(f) Pen picture for officers upto the rank of Air Cmde and narrative comments in respect of Air Marshals.

(g) Adverse comments, Employability, Training and development needs and Recommendations for service courses (in respect of officers upto the rank of Air Commodore).

4.3.7 Pen Picture

Unlike in the Army and Navy, the pen picture in the Air Force appraisal report is not of a global essay type. The pen picture is to be provided in three distinct paragraphs covering appraisee's job performance, human relations and personal characteristics as follows :

(a) Job Performance

This is to commence with the mention of the appointment held by the appraisee and the nature of his primary and secondary duties. This paragraph is to record the quality of work performed and special achievements of the appraisee. Any shortfalls/weaknesses are also to be mentioned.

(b) Human Relations :

This paragraph is to cover the interpersonal effectiveness and man-management aspects of appraisee's performance. In addition, this should record the leadership style and ability to get along with people at various levels.

(c) Personal characteristics

This paragraph is to provide a sketch of appraisee's character and personality. The appraiser is expected to mention such aspects as temperament, cheerfulness and participation in various service activities. Any rectifiable weaknesses noticed in the appraisee are also to be mentioned.

4.3.8 Narrative Comments

In the appraisal report for Air Marshals, narrative comments by the initiating officer are given in the form of a global essay instead of the pen picture.

4.3.9 Adverse Comments

Any weakness in the appraisee which is considered harmful to the service is to be mentioned in the form of adverse comments. Remarks made under this are to be communicated to the appraisee in writing and confirmation to this effect is to be recorded at sub para . Similarly, efforts made by the appraisee to overcome the weakness/shortcoming brought to his notice and the counselling/guidance provided to him are also to be recorded in this section. In actual practice the number of officer receiving the adverse comments are very less.

4.3.10 Employability

In this part of assessment, an officer's suitability for command, staff, instructional or field assignment is to be recorded by the appraiser.

4.3.11 Training & Development Needs

Appraiser is to provide here the need for training and development of the appraisee. Similarly he has to give recommendations for service courses for which the appraisee should be detailed.

4.3.12 Status

Appraisal reports are considered as confidential documents once the appraisee has completed the first two parts viz. personal data and qualifications/courses and handed it over to the initiating officer. Appraisal report is not to be shown to the Appraisee under any circumstances except when he is considered unsuitable for retention in service.

4.3.13 Performance Counselling

The relevant Air Force Order lays down that performance level of the appraisee, his strengths and weaknesses as well as suggestions for improvement be conveyed to him during periodic contacts or interviews. Since there is no formal way to record the counselling given to the appraisee, it is highly doubtful if any counselling takes place at all.

4.3.14 Appeal and Representation

No special procedure is laid down for the purpose of

dealing with cases of representation against an appraisal report.

4.3.15 Rating Scale

Flying assessment and performance assessment is undertaken by awarding numerical gradings to an appraisee on a scale of 1 to 9. Points on the rating scale are grouped under five grades as follows.

| Exceptional | Above Average | Average | Below Average | Poor |
|-------------|------------------|---------|------------------|------|
| 9 | 8-7 | 6-5 | 4-3 | 2-1 |

4.3.16 Reporting channel

The layout of Air Force Forms (See Appendix B) provides for numerical assessment at three levels termed as Initiating officer (IO), Reviewing Officer (RO) and Senior Reviewing Officer (SRO). Provision for three level assessment does not imply that in each case there must be two or three independent assessments. This will depend upon the nature of appointment and the chain of command for each appointment. However, assessment at more than one level should be preferred whenever possible, to achieve greater reliability.

The Initiating Officer for each appraisee will be the immediate senior officer in the chain of command who has been directly supervising/overseeing the work of the appraisee. In most cases he will be the unit/section Commander. Under no circumstances will an officer junior to the appraisee raise/comment or renew the report.

The Reviewing Officer will be the officer senior to the RO and higher in the chain of command. The Senior Reviewing Officer (SRO) will be the officer senior to RO and higher in the chain of command.

NOTES

(1) For describing the formal appraisal system followed in the Indian Air Force, the help has been taken from the following references :

- a. Air Force Order (2/90).
- b. Appraisal Manual, IAF

CHAPTER 5

DATA ANALYSIS

5.1 FORMATTING THE RAW DATA

Once the raw data had been collected, the next step was the data analysis. Most of the analysis was done through the computer and the statistical package used for this purpose was "STATGRAF". To use the raw data on computer, the first and foremost necessity was of shaping the raw data to suit the requirements of the computer. The following steps were taken to give the required shape to the raw data.

(a) Keeping in mind the variables used for study i.e, rank and branch the raw data was first arranged into six categories as given below :-

- (i) Flt Lt to Sqn Ldr for Flying branch
- (ii) Flt Lt to Sqn Ldr for Technical branch
- (iii) Flt Lt to Sqn Ldr for Non Tech Ground Duty branches
- (iv) Wg Cdr to Air Cmde for Flying branch
- (v) Wg Cdr to Air Cmde for Technical branch
- (vi) Wg Cdr to Air Cmde for Non Tech Ground Duty branches

(b) All the collected forms in their respective categories were then given numbers according to a three digit number system as explained below.

- (i) Digit 1 : Single space is provided to be used only, by numerical figure i.e, 1 or 2. This shows the category of officers i.e, Cat 1 for officers from Flt Lt to Sqn Ldr and Cat 2 for officers from Wg Cdr to Air Cmde.

(ii) Digit 2 : Single space is provided which can have only alphabets. In this study A is used for flying branch officers, B for technical and C for non-technical ground duty officers.

(iii) Digit 3 : Two spaces are provided to be used by numerical figure. This shows the corresponding number of the respondent in a particular category. Suppose the form was 36th in the flying branch of Flt Lt to Sqn Ldr category then the corresponding number allotted to the form was 1-A-36.

(c) Codification of Questionnaire :

(i) The first question has 13 statements from A to M and each statement has two questions i.e, 'a' and 'b'. For feeding into the computer 'a' and 'b' are coded as 1 and 2 respectively. Hence all the 13 statements get coded as shown below.

Q1A1, Q1A2.....Q1M1,Q1M2.

(ii) The second question is coded as Q2.

(iii) The third question has two parts i.e. 'a' and 'b' and each part has 5 subparts. The part 'b' is an open end type question for which qualitative analysis was carried out manually. For part 'a' the codification was done as shown below.

Q3A1,Q3A2.....Q3A5

(iv) The fourth question is having 8 parts from A to H. The part 'H' and second portion of part 'G' are open end type questions analysed qualitatively. For rest of the parts the codification was done as shown below.

Q4A, Q4B.....Q4G

(d) **Codification of the responses** : Responses of the respondents for each question of the questionnaire was coded as per the following table :-

CODIFICATION OF THE RESPONSES

Table 5.01

| Question No. | | Variables | | | |
|--------------|---|---------------|---------|---------------|-------------------|
| 1 | a | Agree = 1, | | Disagree = 2 | |
| | b | Ordinary = 1, | | Critical = 2, | Most critical = 3 |
| 2 | | LS = 1, | NS = 2, | OK = 3, | S = 4, MS = 5 |
| 3 | a | LS = 1, | NS = 2, | OK = 3, | S = 4, MS = 5 |
| 4 | | Yes = 1, | | No = 2 | |

(e) **Feeding In Computer** : After completing the codification of questions and responses the data was fed in six categories (as mentioned in section 5.1(a)) with separate file names as given below.

| Category | Branch | File Names |
|--|--------|------------|
| Flt Lt to Sqn Ldr - Flying branch | | Flt Sq |
| Flt Lt to Sqn Ldr - Technical branch | | Flt Sqn 1 |
| Flt Lt to Sqn Ldr - Non-Tech ground duty branch | | Flt Sqn2 |
| Wg Cdr to Air Cmde - Flying branch | | Wg AR |
| Wg Cdr to Air Cmde - Technical branch | | Wg AR1 |
| Wg Cdr to Air Cmde - Non-Tech ground duty branch | | Wg AR2 |

5.2 BASIS OF ANALYSIS

The variables used for the study are rank and branch. For the variable 'rank', the entire sample was divided into two

categories as shown below.

Cat 1 = Flt Lt to Sqn Ldr for all the branches

Cat 2 = Wg Cdr to Air Cmde for all the branches

Similarly for the variable 'branch' the division of the sample was done in three categories

Cat 3 = Flying Branch

Cat 4 = Technical Branch

Cat 5 = Non Technical Ground Duty Branch

Rest of the analysis was carried out on the data arranged as per the above categories. To get the data into the above mentioned categories , the simple joining operations were carried out between the six files mentioned above. For example, to get the data in Cat. 1 the files were concatenated as given below :

Flt Sq + Flt Sqn 1 = Flt Sqn01

Flt Sqn01 + Flt Sqn 2 = Flt Sqn02

The five categories with their file names and sample size are given below :

| Categories | File Name | Sample size |
|------------------------|-----------|-------------|
| ----- | ----- | ----- |
| Cat 1 | Flt Sqn02 | 121 |
| Cat 2 | Wg Ar02 | 91 |
| Cat 3(Flying) | FLY | 55 |
| Cat 4(Technical) | TECH | 70 |
| Cat 5(Non Tech Ground) | NTGR | 87 |

5.3 ANALYSIS OF RESPONSES :

Question wise description of the various statistical techniques used for the purpose of analysis are given below.

5.3.1 Probable Problems with PAS (Question 1)

In the first question 13 statements were given to respondents to mention their agreement or disagreement with each statement. In case a respondent agreed with the statement, then he was further asked to mention the criticality of statement towards effectiveness of PAS by selecting any one alternative out of the given three (ordinary, Critical, Most Critical).

(a) **Frequency Table :** For the subpart 'a' of question 1 for all the 13 statements and for all the five categories, a frequency tabulation is made. The same is shown in table 5.1. This table gives the numerical figures of the respondents who have agreed or disagreed with a particular statement in all the five categories. For comparing the response rates between the various categories, the percentage chart of responses was made. The same is shown in table 5.2.

(b) **Graphical Representation :** For the graphical representation bar graph were made using the data in table 5.2. Two sets of graphs were made. One between Cat. 1 and Cat. 2 and the second between the three branches i.e. flying, technical and non tech ground. (See Appendix C1 to C4 for the graphs)

5.3.2 Criticality of Statements towards Effectiveness of PAS (Question 1b) :

(a) **Frequency Table:** A frequency table showing the response rate for all the three alternatives against each of the 13 statements and for all the five categories was made.

The same is shown in table 5.3.

- (b) **Mean Table :** For subpart 'b' of question 1, the mean values of each statement for all the five categories was calculated. The same is shown in table 5.4.
- (c) **Graphical Representation :** Graphical Representation of the mean values for all the 13 statements and for all the five categories was made in the form of bar charts. These charts were also made in two sets as for subpart 'a'. These charts are attached in Appendix C5 to C8.

5.3.3 Satisfaction level with PAS and its various Objectives (Question 2 and 3):

In the questions '2' and '3' the satisfaction level of the officers with the present performance appraisal system was studied. For doing the analysis the following statistical methods were used.

- (a) **Frequency Table:** This table gives the picture about the respondents choice over a five point scale for all the five categories. This is shown in table 5.5.
- (b) **Mean Values:** For question 2 and 3 the mean values of the respondents choice for all the five categories were calculated and the same is shown in table 5.6. These values help to draw the conclusions about the satisfaction level of officers with the present performance appraisal system and its various objectives.

(c) **Graphical Representation:** Graphical representation of mean values were made in the form of bar charts and the same is attached in Appendix C9 and C10. These graphs draw the comparison between Cat 1 and Cat 2 as well as between the three branches i.e. Flying, Technical, Non Technical Ground Duty. .pa

5.3.4. Suggested changes to PAS (Question 4)

In this question the respondents were asked to give their opinion (by saying either 'Yes' or 'No') on some suggested changes in the P A S. Here the following statistical methods were used.

(a) **Frequency Tabulation :** Giving the picture about the respondents choice over the suggested changes for all the five categories. This is shown in table 5.7. The corresponding percentage response rates are shown in Table 5.8.

(b) **Graphical Representation :** Two sets of bar charts were drawn. One between cat 1 and cat 2 and the second between the three branches. The charts are attached in Appendix C11 and C12.

5.4 HYPOTHESIS TEST

5.4.1. Grouping of Categories

A hypothesis testing was carried out between the categories to know whether the samples belong to the same population or to a different one. If they belong to the same population then the parameter like mean for both the samples will be the same. For carrying out the hypothesis test the five

categories were grouped as given below.

- (a) CAT 1 with CAT 2
- (b) FLY with TECH
- (c) TECH with NON TECH GROUND DUTY
- (d) FLY with NON TECH GROUND DUTY

5.4.2. Selection of Technique¹

The data generated by the questionnaire did not have the true numerical values. The measurements made with question 1 & 4 were of nominal type whereas measurements made with question 2 & 3 were of ordinal type. Under such conditions the results of parametric statistical techniques cannot be authenticated, therefore, we have used the non-parametric statistical techniques to arrive at the conclusions.

5.4.3 Selection of Hypothesis Test

Our aim is to see the difference of opinion, if any, between the two samples belonging to two different categories. Therefore, the study that suits most to our requirements is the hypothesis testing between the two Independent Samples. Under the non parametric hypothesis testing techniques between the two independent samples, the following tests are available:-

- (a) Fisher exact probability test.
- (b) Chi Square test
- (c) The Median test.
- (d) The Mann-whitney U test.
- (e) The kolmogorov - Smirnov Two sample test
- (f) The Wald - Wolfowitz Runs Test

(g) The Moses Test of extreme functions.

(h) The Randomization test for two independent samples.

The comparative study made between the above mentioned tests is given below in table 5.02²

**VARIOUS TESTS UNDER NON PARAMETRIC HYPOTHESIS TESTING FOR TWO
INDEPENDENT SAMPLES**

TABLE : 5.02

| Test | Characteristic |
|-----------------------------|--|
| 1. Fisher Exact Prob Test | 1. Small sample sizes 2. Data to be discrete 3. Nominal and ordinal measurements |
| 2. Chi Square Test | 1. Large sample size 2. Frequencies in discrete categories 3. Nominal scale of measurement 4. When $df > 1$, Chi Square are insensitive to the effects of order. |
| 3. Maiden Test | 1. Ordinal scale of measurement 2. Sample size small - Use Fisher test 3. Sample size large - Use Chi square |
| 4. Mann Whitney Test (U) | 1. At least an ordinal measurement 2. Most powerful NP Test |
| 5. Kolmogorov-Smirnov Test | 1. At least an interval measurement. Less interval results information wastage 2. Sensitive to any difference (CT, skewness, dispersion) |
| 6. Wald-Wolfowitz Runs Test | 1. At least an ordinal scale. 2. Sensitive to any sort of difference |
| 7. Moses Test | 1. At least an ordinal scale 2. Used mostly where data shows extreme characteristics |
| 8. Randomisation Test | 1. At least an interval measurement 2. Numerical values of scores |

In this study the Chi Square test for two independent samples have been used to carry out the statistical analysis. The main reasons are :-

- (a) Large sample size
- (b) Measurements made are nominal and at the most ordinal type
- (c) Scores under study consist of frequencies in discrete categories.

5.4.4 Test Characteristics

The hypothesis test was carried out with the following characteristics. Results of the hypothesis test are shown in Table 5.9 and 5.10

- (a) **Null hypothesis - H_0 :-** There is no difference of opinion between the two groups i.e. both the groups belong to the same population. The alternate hypothesis - H_1 is that difference of opinion exists between the groups i.e. both the groups belong to the different populations.
- (b) **Significance Level :** It is set at $\alpha = .05$
- (c) **Rejection Region :** When the value of Chi Square calculated from the given data comes out to be greater than the value taken from the chi square table at $\alpha = .05$, then the null hypothesis H_0 is rejected and the alternate hypothesis H_1 is accepted. If the value of α increases then the chances of rejection of H_0 becomes higher.

(d) **Test requirement³** : When $df > 1$ then the Chi Square test can be used only if the cell frequencies in not more than 20 % cases is less than 5 . If this requirement is not met by the data in the form in which they were originally collected then the adjacent categories can be combined in order to increase the expected frequencies in the various cells

5.5 QUALITATIVE ANALYSIS

The questions 3 (b) , 4(e) ii part and 4 (h) were open end type where the respondent was given a chance to express himself . For such questions the analysis carried out was qualitative in nature.

5.5.1 Weaknesses of PAS and its Objectives (Question 3 (b))

In the question 3(b) the respondent was asked to mention the reasons for giving his/her choice (least satisfactory or not satisfactory). Very few respondents have selected either of the two options. The weaknesses mentioned by the respondents in the various objectives of PAS are collected in such a manner that it shows the aggregation of certain opinions. Therefore, they are presented as statements and the figure within the parenthesis indicates the number of respondents who wrote that weakness . The response for each objective was grouped under the two categories.

(a) Cat 1 (Flt Lt to Sqn Ldr.)

(b) Cat 2 (Wg Cdr to Air Cmde)

5.5.1.1 Determining Officers Suitability for Promotions

(a) Cat 1 (Flt Lt to Sqn Ldr) :

- (1) Personal relations with IO/RO/SRO matters a lot (5)
- (2) Appraisal Report is too subjective as different raters have different weightages for the attributes (3)
- (3) No feed back given, therefore, reduces the scope for improvement (2)
- (4) Solely based on Appraisal Reports (2)
- (5) Qualitative assessment not possible (1)

(b) Cat 2 (Wg Cdr to Air Cdre) :

- (1) Rating scale is defective as officers missing promotions with a grading difference of .02 (4)
- (2) Present PAS is often subjective. (3)
- (3) Discretionary marks of selection boards defeat the very purpose of the PAS. (3)
- (4) Officers are not explained the reasons for not being promoted (1)
- (5) All the reports filled till the time of consideration for promotion should be considered. (1)

5.5.1.2 Placement of officers to various appointments :

(a) Cat 1 (Flt to Sqn Ldr)

- (1) Inadequacy of the form to extract the required information (3)

- (2) This aspect is not considered at all. (3)
- (3) Attributes required for a particular appointment should only be considered for placement. This is hardly done. (2)
- (4) Personal rapport & biases plays an important role (1)
- (5) Career profiles are non-existent, especially for ground duty officers. Their development needs and past experiences do not match posting profiles (1)

(b) Cat II (Wg Cdr to Air Cde)

- (1) Insufficient knowledge of IO's. on recommending an officer for foreign postings (3)
- (2) PAS is not considered for officers appointments (3)
- (3) Personal preferences are overriding criteria for appointments (2)
- (4) In case PAS is considered, an overall assessment is taken into view. (2)

5.5.1.3 Meeting the training and development needs :

(1) Cat 1 (Flt Lt to Sqn Ldr)

- (1) Trg & development needs of an officer is not given due weightage. (7)
- (2) Cases where rater and ratees are from different branches,

generally raters don't understand
the real need of trg and
development of officers. (4)

(3) Deciding heads are very few,
resulting in preferences, biases
etc. (2)

(4) Only those who can be spared from
the units are sent for courses. (1)

(5) Modern techniques on machine
management have undergone a great
change. However the IAF personnel
are not fully trained on them. (1)

(2) Cat II (Wg Cdr to Air Cmde)

(1) No scientific methods followed (2)

(2) Unwanted officers are detailed by CO's
for courses (2)

(3) Other than flying branch, career
planning and development needs remain
unidentified. (1)

5.5.1.4 Selection for important courses in India and Abroad :

(1) Cat 1 (Flt Lt to Sqn Ldr)

(1) Personal relations with P-staff
affects a lot (5)

(2) QRs are never made open to officers (2)

(2) Cat 2 (Wg Cdr to Air Cmde)

(1) QRs are decided to suit self
requirements (3)

- (2) ARs are not considered for
detailling officers for courses (2)

5.5.1.5 Adequacy of performance appraisal form to bring out all aspects of performance :

(1) Cat 1 (Flt Lt to Sqn Ldr)

- (1) Professional skills are given
less weightage (3)
- (2) Does not bring all aspects of
performance (2)
- (3) Personal bias defeats the whole
purpose of AR (2)
- (4) Highly subjective i.e, interpeta-
tion of variables are different. (2)

(2) Cat 2 (Wg Cdr to Air Cmde)

- (1) Attributes are rather vague and often
confusing (3)
- (2) Same variables used for all branches. (2)
- (3) Professional skills are given
less weightage (2)
- (4) Appraisal form does not define
the various objectives clearly
i.e, promotion, placement, trg
and development needs. (2)

5.5.2 Weightages to IO/RO/SRO

Through the question (4g) the respondents were asked to suggest the respective weightages that should be given to IO, RO and SRO in the final appraisal report. Approximately 60%

respondents have given their approval to the proposal (refer table 5.8). After going through the choices given by the respondents in each category, a total of 16 different combinations of weightages to IO, RO, SRO have come out. Leaving a few, in most of the combinations the choices of the respondents in various categories was less than 3. Therefore for arriving at a conclusion a particular suggestion given by less than three respondents in each category has not been considered to comment upon. The final table that arises has been shown in table 5.11.

5.5.3 Suggestions on PAS

Through the question 4(g), the respondents were asked to give their suggestions to make the system more objective and overcome the weaknesses identified by them. This part of the questionnaire was not filled by all the respondents but those who have answered this question have given their suggestions in a frank and forthright manner. Collection of the responses has been undertaken in such a manner that it shows the aggregation of certain opinions. Therefore these are presented as statements and the figure within the parenthesis indicates the number of respondents who wrote that statement. The responses were grouped as done in question 3(b).

5.5.3.1 Suggestion on PAS by Officers of Category 1 (Flt Lt to Sqn Ldr)

The suggestions of the respondents under this category were as follows :-

- (a) Appraisal counselling should be introduced (9)

- (b) Once in two years the feed back should be given (7)
- (c) More weightage should be given to professional knowledge (6)
- (d) Training and development needs require closer scrutiny (4)
- (e) Self appraisal should be introduced (4)
- (f) System should be made open i.e, ACRs should be shown and signed by appraisee (4)
- (g) Training and education of IO's, RO's. on various aspects of PAS (4)
- (h) Different weightages should be given to different attributes (3)
- (j) Selection for foreign courses as well as for important courses in India should be based purely on performance in the entrance exam. PAS can be used just to shortlist the candidates (3)
- (k) PAS should be used effectively in all deciding factors like promotions, placement, training and development needs etc. (2)
- (l) Appraisal Report should be asked half yearly (2)
- (m) Reports should be raised by officers of the same branch (2)
- (n) PAS should take the opinion of subordinates (1)
- (o) Some attributes/variables covering appraisee's personal behaviour like excessive

drinking, etc. should be introduced (1)

5.5.3.2 Suggestion of PAS by Officer of Category 2 (Wg Cdr to Air Cnde)

- (a) Feed back should be given/performance counselling in an effective manner (15)
- (b) Levels of reporting should be reduced from 3 to 2 (IO, RO only) inorder to bring them closer to appraisee (7)
- (c) Setting up of goals and objectives by IO's at the start of appraisal period (6)
- (d) Introduce Weightage to IO's, RO's to reduce rater bias (5)
- (e) Appropriate weightages for different traits/variables (5)
- (f) Decimal rating scale to avoid overcrowding at 6 to 8 position. (3)
- (g) Pen picture should be shown to the appraisee (3)
- (h) Professional performance should form a separate scale of assessment (3)
- (j) Promotions should be on minimum performance level with no surcession hence abolish rating scale system. (2)
- (k) Pen picture should be removed (2)
- (l) Rater and Ratee should be from same profession (2)
- (m) Assign weightage to different jobs (2)
- (n) Administrative machinery regarding appointment policies should be modified to consider PAS for most of the appointments (1)
- (o) Officer on duties other than their branch, should be

rotated back to their original branch. (1

(p) My boy syndrome should be eliminated (1

(q) Reports should be normalised to avoid the effect of
units and commands. (1

FREQUENCY RESPONSES ON THE PROBABLE PROBLEMS WITH THE PAS

Table : 5.1 (Ques 1 Part a)

| Statements | Category | Cat 1 | | Cat 2 | | FLY | | TECH | | NTGR | |
|----------------|------------------|-------|----|-------|----|-----|----|------|----|------|----|
| | Sample size | 121 | | 91 | | 55 | | 70 | | 87 | |
| | Question Ref No. | A | D | A | D | A | D | A | D | A | D |
| Subjectivity | 1 a 1 | 90 | 31 | 71 | 20 | 44 | 11 | 51 | 19 | 66 | 21 |
| No Feedback | 1 b 1 | 111 | 10 | 71 | 20 | 44 | 11 | 61 | 9 | 77 | 10 |
| Objectives | 1 c 1 | 64 | 57 | 30 | 61 | 21 | 34 | 34 | 36 | 39 | 48 |
| Lenient strict | 1 d 1 | 111 | 10 | 84 | 7 | 50 | 5 | 70 | 0 | 75 | 12 |
| Central Ten. | 1 e 1 | 68 | 53 | 44 | 47 | 25 | 30 | 37 | 33 | 50 | 13 |
| Ratee IK | 1 f 1 | 63 | 58 | 27 | 64 | 24 | 31 | 27 | 43 | 39 | 48 |
| Time Consum. | 1 g 1 | 62 | 59 | 40 | 51 | 33 | 22 | 20 | 50 | 49 | 38 |
| Trg.& Dev. | 1 h 1 | 102 | 19 | 61 | 30 | 47 | 8 | 47 | 23 | 69 | 18 |
| Recent Achiv | 1 i 1 | 85 | 36 | 63 | 28 | 39 | 16 | 44 | 26 | 65 | 22 |
| Per.Scores | 1 j 1 | 47 | 74 | 27 | 64 | 16 | 39 | 26 | 44 | 32 | 55 |
| Diff.Profess | 1 k 1 | 89 | 32 | 51 | 40 | 20 | 35 | 53 | 17 | 67 | 20 |
| Att. at par | 1 l 1 | 93 | 28 | 78 | 13 | 43 | 12 | 56 | 14 | 72 | 15 |
| Same form | 1 m 1 | 55 | 66 | 42 | 49 | 19 | 36 | 35 | 35 | 43 | 44 |

Legend

| | |
|-------|---------------------------------|
| Cat 1 | Flt Lt to Sqn Ldr |
| Cat 2 | Wg Cdr to Air Cmde |
| Fly | Flying branch |
| NTGR | Non Tech Ground Duty Branch |
| A | Number of Respondents Agreed |
| D | Number of Respondents Disagreed |

PERCENTAGE RESPONSE RATE ON THE PROBABLE PROBLEMS WITH THE PAS

TABLE : 5.2 (QUESTION 1 PART a)

| Category Sample size | Cat 1 121 | | Cat 2 91 | | FLY 55 | | TECH 70 | | NTGR 87 | |
|----------------------------|--------------|--------|-------------|--------|-----------|--------|------------|--------|------------|--------|
| Question Ref No. | A % | D % | A % | D % | A % | D % | A % | D % | A % | D % |
| 1 a 1 | 74 | 26 | 78 | 22 | 80 | 20 | 73 | 27 | 76 | 24 |
| 1 b 1 | 92 | 8 | 78 | 22 | 80 | 20 | 87 | 13 | 89 | 11 |
| 1 c 1 | 53 | 47 | 33 | 67 | 38 | 72 | 49 | 51 | 45 | 55 |
| 1 d 1 | 92 | 8 | 92 | 8 | 91 | 9 | 100 | 0 | 86 | 14 |
| 1 e 1 | 56 | 44 | 48 | 52 | 45 | 55 | 53 | 47 | 57 | 43 |
| 1 f 1 | 52 | 48 | 30 | 70 | 44 | 56 | 39 | 61 | 45 | 55 |
| 1 g 1 | 51 | 49 | 44 | 56 | 60 | 40 | 29 | 71 | 56 | 44 |
| 1 h 1 | 84 | 16 | 67 | 33 | 85 | 15 | 67 | 33 | 79 | 21 |
| 1 i 1 | 70 | 30 | 69 | 31 | 71 | 29 | 63 | 37 | 75 | 25 |
| 1 j 1 | 39 | 61 | 30 | 70 | 29 | 71 | 37 | 63 | 37 | 63 |
| 1 k 1 | 74 | 26 | 56 | 44 | 36 | 64 | 76 | 24 | 77 | 23 |
| 1 l 1 | 77 | 23 | 86 | 14 | 78 | 22 | 80 | 20 | 83 | 17 |
| 1 m 1 | 45 | 55 | 46 | 54 | 35 | 65 | 50 | 50 | 50 | 50 |

Legend

Cat 1 Flt Lt to Sqn Ldr

Cat 2 Wg Cdr to Air Cmde

Fly Flying branch

NTGR Non Tech Ground Duty Branch

A Respondents Agreed in percentage

D Respondents Disagreed in percentage

FREQUENCY RESPONSES ON CRITICALITY OF STATEMENTS TOWARDS
EFFECTIVENESS OF PAS

TABLE : 5.3

| Category | Cat 1 | | | | Cat 2 | | | | FLY | | | | TECH | | | | INTGR | | | |
|------------------|-------|-----|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-------|-----|-----|-----|
| Sample size | 121 | | | | 91 | | | | 55 | | | | 70 | | | | 87 | | | |
| Question Ref No. | 0/ | 1/ | 2/ | 3/ | 0/ | 1/ | 2/ | 3/ | 0/ | 1/ | 2/ | 3/ | 0/ | 1/ | 2/ | 3/ | 0/ | 1/ | 2/ | 3/ |
| 1 a 2 | 31/ | 12/ | 40/ | 38/ | 20/ | 11/ | 35/ | 25/ | 11/ | 10/ | 22/ | 12/ | 19/ | 07/ | 22/ | 22/ | 21/ | 08/ | 31/ | 29/ |
| 1 b 2 | 10/ | 10/ | 43/ | 58/ | 20/ | 07/ | 38/ | 26/ | 11/ | 07/ | 24/ | 13/ | 09/ | 03/ | 30/ | 28/ | 10/ | 07/ | 27/ | 43/ |
| 1 c 2 | 57/ | 12/ | 38/ | 14/ | 61/ | 10/ | 09/ | 11/ | 34/ | 07/ | 08/ | 06/ | 36/ | 08/ | 19/ | 09/ | 48/ | 09/ | 20/ | 10/ |
| 1 d 2 | 10/ | 09/ | 46/ | 56/ | 07/ | 05/ | 40/ | 39/ | 05/ | 05/ | 18/ | 27/ | 00/ | 03/ | 30/ | 37/ | 12/ | 06/ | 38/ | 31/ |
| 1 e 2 | 53/ | 13/ | 37/ | 18/ | 47/ | 10/ | 25/ | 09/ | 30/ | 07/ | 15/ | 03/ | 33/ | 07/ | 20/ | 10/ | 37/ | 09/ | 27/ | 14/ |
| 1 f 2 | 58/ | 15/ | 35/ | 13/ | 64/ | 08/ | 10/ | 09/ | 31/ | 08/ | 12/ | 06/ | 43/ | 08/ | 14/ | 05/ | 48/ | 09/ | 19/ | 11/ |
| 1 g 2 | 59/ | 14/ | 34/ | 14/ | 51/ | 05/ | 27/ | 08/ | 22/ | 08/ | 21/ | 04/ | 50/ | 05/ | 11/ | 04/ | 38/ | 08/ | 29/ | 14/ |
| 1 h 2 | 19/ | 07/ | 50/ | 45/ | 30/ | 09/ | 30/ | 22/ | 08/ | 05/ | 29/ | 13/ | 23/ | 04/ | 18/ | 25/ | 18/ | 07/ | 33/ | 29/ |
| 1 i 2 | 36/ | 19/ | 44/ | 22/ | 28/ | 17/ | 23/ | 23/ | 16/ | 10/ | 15/ | 14/ | 26/ | 08/ | 23/ | 13/ | 22/ | 18/ | 29/ | 18/ |
| 1 j 2 | 74/ | 13/ | 11/ | 23/ | 64/ | 05/ | 03/ | 19/ | 39/ | 03/ | 03/ | 10/ | 44/ | 09/ | 05/ | 12/ | 55/ | 08/ | 06/ | 20/ |
| 1 k 2 | 32/ | 22/ | 48/ | 19/ | 40/ | 11/ | 30/ | 10/ | 35/ | 06/ | 12/ | 02/ | 17/ | 15/ | 24/ | 14/ | 20/ | 12/ | 42/ | 13/ |
| 1 l 2 | 28/ | 09/ | 46/ | 38/ | 13/ | 12/ | 32/ | 34/ | 12/ | 04/ | 20/ | 19/ | 14/ | 11/ | 27/ | 18/ | 15/ | 08/ | 31/ | 35/ |
| 1 m 2 | 66/ | 20/ | 27/ | 08/ | 49/ | 18/ | 14/ | 10/ | 36/ | 09/ | 09/ | 01/ | 35/ | 15/ | 12/ | 08/ | 44/ | 14/ | 20/ | 09/ |

Scale used

- 0 Disagreed
- 1 Ordinary Statement
- 2 Critical Statement
- 3 Most critical statement

CRITICALITY OF STATEMENT TOWARDS EFFECTIVENESS OF PAS

TABLE : 5.4, STATEMENT-MEAN VALUE (QUESTION 1 PART b)

| Category Sample size | Cat 1 121 | Cat 2 91 | FLY 55 | TECH 70 | NTGR 87 |
|----------------------------|--------------|-------------|------------|------------|------------|
| Question Ref No. | Mean Value | Mean Value | Mean Value | Mean Value | Mean Value |
| 1 a 2 | 2.29 | 2.20 | 2.05 | 2.29 | 2.35 |
| 1 b 2 | 2.41 | 2.27 | 2.14 | 2.41 | 2.47 |
| 1 c 2 | 2.03 | 2.03 | 1.95 | 2.08 | 2.02 |
| 1 d 2 | 2.22 | 2.40 | 2.54 | 2.49 | 2.33 |
| 1 e 2 | 2.07 | 1.97 | 1.84 | 2.08 | 2.1 |
| 1 f 2 | 1.96 | 2.03 | 2 | 1.88 | 2.05 |
| 1 g 2 | 2.0 | 2.08 | 1.88 | 1.95 | 1.88 |
| 1 h 2 | 2.37 | 2.21 | 2.17 | 2.45 | 2.32 |
| 1 i 2 | 2.03 | 2.09 | 2.10 | 2.11 | 2 |
| 1 j 2 | 2.21 | 2.52 | 2.43 | 2.11 | 2.44 |
| 1 k 2 | 1.97 | 1.98 | 1.80 | 1.98 | 2.01 |
| 1 l 2 | 2.31 | 2.28 | 2.34 | 2.13 | 2.40 |
| 1 m 2 | 1.78 | 1.81 | 1.58 | 1.8 | 1.88 |

Scale

Mean Score from 1.5 to 2.0 = Ordinary statement

Mean Score from 2.01 to 2.25 = Critical statement

Mean Score from 2.26 to 2.60 = Most Critical statement

**FREQUENCY RESPONSES ON SATISFACTION LEVEL WITH PAS AND ITS
OBJECTIVES (QUESTION 2 & 3)**

TABLE : 5.5

| Category | Cat 1 | Cat 2 | FLY | TECH | INTGR |
|------------------|---------------|--------------|-------------|--------------|--------------|
| Sample size | 121 | 91 | 55 | 70 | 87 |
| Question Ref No. | 1/2/3/4/5 | 1/2/3/4/5 | 1/2/3/4/5 | 1/2/3/4/5 | 1/2/3/4/5 |
| 2 | 10/15/68/38/0 | 3/12/41/33/2 | 0/5/30/20/0 | 2/11/34/23/0 | 1/11/45/28/2 |
| 3 a 1 | 1/15/48/54/3 | 4/10/32/39/6 | 0/4/20/27/4 | 4/9/25/31/1 | 1/12/35/35/4 |
| 3 a 2 | 3/28/60/30/0 | 2/16/48/24/1 | 0/9/34/12/0 | 4/14/32/20/0 | 1/21/42/22/1 |
| 3 a 3 | 4/37/65/14/1 | 3/25/15/13/0 | 0/9/14/6/0 | 3/21/39/7/0 | 4/32/36/14/1 |
| 3 a 4 | 4/24/59/30/4 | 3/12/35/37/4 | 2/4/28/18/3 | 4/18/25/21/2 | 1/14/41/28/3 |
| 3 a 5 | 1/15/73/31/1 | 1/10/44/34/2 | 1/2/34/17/1 | 1/13/33/23/0 | 0/10/50/25/2 |

Scale used : 1 - Least satisfactory
2- Not satisfactory
3 - OK
4 - Satisfactory
5 - Most satisfactor

SATISFACTION LEVEL ACROSS CATEGORIES WITH PAS AND ITS OBJECTIVES

MEAN VALUE (QUESTION 2 & 3)

TABLE : 5.6

| Category | Cat 1 | Cat 2 | FLY | TECH | INTGR |
|------------------|------------|------------|------------|------------|--------|
| Sample size | 121 | 91 | 55 | 70 | 87 |
| Question Ref No. | Mean Value | Mean Value | Mean Value | Mean Value | Mean V |
| 2 | 3.19 | 3.2 | 3.27 | 3.11 | 3.21 |
| 3 a 1 | 3.35 | 3.36 | 3.56 | 3.29 | 3.33 |
| 3 a 2 | 2.97 | 3.06 | 3.05 | 2.97 | 3.01 |
| 3 a 3 | 2.76 | 2.8 | 2.94 | 2.71 | 2.72 |
| 3 a 4 | 3.04 | 3.29 | 3.29 | 2.985 | 3.21 |
| 3 a 5 | 3.13 | 3.29 | 3.27 | 3.14 | 3.21 |

FREQUENCY RESPONSES ON SUGGESTED CHANGES TO PAS

FREQUENCY TABULATION (QUESTION 4)

TABLE : 5.7

| Category Sample size | Cat 1 121 | | Cat 2 91 | | FLY 55 | | TECH 70 | | NTGR 87 | |
|----------------------------|--------------|----|-------------|----|-----------|----|------------|----|------------|----|
| Question Ref No. | Y | N | Y | N | Y | N | Y | N | Y | N |
| 4 a | 101 | 20 | 78 | 13 | 49 | 06 | 58 | 12 | 72 | 15 |
| 4 b | 77 | 44 | 47 | 44 | 31 | 24 | 45 | 25 | 48 | 39 |
| 4 c | 109 | 12 | 84 | 07 | 53 | 02 | 65 | 05 | 75 | 12 |
| 4 d | 73 | 48 | 50 | 41 | 29 | 26 | 44 | 26 | 50 | 37 |
| 4 e | 86 | 35 | 54 | 37 | 32 | 23 | 51 | 19 | 57 | 30 |
| 4 f | 111 | 10 | 73 | 18 | 53 | 02 | 55 | 15 | 76 | 11 |
| 4 g | 71 | 50 | 62 | 29 | 32 | 23 | 46 | 24 | 55 | 32 |

PERCENTAGE RESPONSE RATE ON SUGGESTED CHANGES TO PAS(QUESTION 4)

TABLE : 5.8

| Category Sample size | Cat 1 121 | | Cat 2 91 | | FLY 55 | | TECH 70 | | NTGR 87 | |
|----------------------------|--------------|--------|-------------|--------|-----------|--------|------------|--------|------------|--------|
| Question Ref No. | Y % | N % | Y % | N % | Y % | N % | Y % | N % | Y % | N % |
| 4 a | 83 | 17 | 86 | 14 | 89 | 11 | 83 | 17 | 83 | 17 |
| 4 b | 64 | 36 | 52 | 48 | 58 | 44 | 64 | 36 | 55 | 45 |
| 4 c | 90 | 10 | 92 | 08 | 96 | 04 | 93 | 07 | 86 | 14 |
| 4 d | 60 | 40 | 55 | 45 | 53 | 47 | 63 | 37 | 57 | 43 |
| 4 e | 71 | 29 | 59 | 41 | 58 | 42 | 73 | 27 | 66 | 34 |
| 4 f | 92 | 08 | 80 | 20 | 96 | 04 | 79 | 21 | 87 | 13 |
| 4 g | 59 | 41 | 68 | 32 | 58 | 42 | 66 | 34 | 63 | 37 |

Y = Yes

N = No

HYPOTHESIS TESTING

TABLE : 5.9

MODEL : Ho : Difference of Opinion Between The Groups Does Not Exist
 H1 : Difference of Opinion Between The Groups Exists
 Alpha Value = 0.05
 From Chi Square Table
 D.F = 1 Chi square = 3.84
 D.F = 2 Chi square = 5.49
 D.F = 4 Chi square = 9.49

| Cat | CAT I & CAT II | FLY - TECH - NTGR |
|-------|--|--|
| Quest | | |
| No | | |
| 1a1 | Chi Sqr=.3770, Sig Val=0.539 D.F=1, Result : Do not reject Ho | Chi Sqr=.8606, Sig Val=0.650 D.F=2, Result : Do not reject Ho |
| 1b1 | Chi Sqr=8.040, Sig Val=4.57x10 ⁻³ D.F=1, Result : Reject Ho | Chi Sqr=2.150, Sig Val=0.3411 D.F=2, Result : Do not reject Ho |
| 1c1 | Chi Sqr=3.355, Sig Val=3.84x10 ⁻³ D.F=1, Result : Reject Ho | Chi Sqr=1.360, Sig Val=0.506 D.F=2, Result : Do not reject Ho |
| 1d1 | Chi Sqr=.023, Sig Val=0.879 D.F=1, Result : Do not reject Ho | Chi Sqr=10.12, Sig Val=6.34x10 ⁻³ D.F=2, Result : Reject Ho |
| 1e1 | Chi Sqr=1.28, Sig Val=0.257 D.F=1, Result : Do not reject Ho | Chi Sqr=1.952, Sig Val=0.376 D.F=2, Result : Do not reject Ho |
| 1f1 | Chi Sqr=10.66, Sig Val=1.09x10 ⁻³ D.F=1, Result : Reject Ho | Chi Sqr=.6640, Sig Val=0.717 D.F=2, Result : Do not reject Ho |
| 1g1 | Chi Sqr=1.10, Sig Val=.2934 D.F=1, Result : Do not reject Ho | Chi Sqr=16.16, Sig Val=3.08x10 ⁻⁴ D.F=1, Result : Reject Ho |
| 1h1 | Chi Sqr=8.71, Sig Val=5.32x10 ⁻³ D.F=1, Result : Reject Ho | Chi Sqr=6.299, Sig Val=0.0428 D.F=2, Result : Reject Ho |
| 1i1 | Chi Sqr=.0254, Sig Val=0.873 D.F=1, Result : Do not reject Ho | Chi Sqr=2.629, Sig Val=0.268 D.F=2, Result : Do not reject Ho |
| 1j1 | Chi Sqr=1.923, Sig Val=0.165 D.F=1, Result : Do not reject Ho | Chi Sqr=1.107, Sig Val=0.5748 D.F=2, Result : Do not reject Ho |
| 1k1 | Chi Sqr=7.100, Sig Val=7.70x10 ⁻³ D.F=1, Result : Reject Ho | Chi Sqr=29.18, Sig Val=4.5x10 ⁻⁷ D.F=2, Result : Reject Ho |
| 1l1 | Chi Sqr=2.610, Sig Val=0.106 D.F=1, Result : Do not reject Ho | Chi Sqr=0.4817, Sig Val=0.785 D.F=2, Result : Do not reject Ho |
| 1m1 | Chi Sqr=.0102, Sig Val=0.919 D.F=1, Result : Do not reject Ho | Chi Sqr=3.764, Sig Val=0.150 D.F=2, Result : Do not reject Ho |

Note : * Case discussed in Table 5.10

TABLE 5.9 (CONTINUED)

| Cat Ques No | CAT I & CAT II | FLY - TECH - NTGR |
|-------------------|--|---|
| 1a2 | Chi Sqr=.8286, Sig Val=.6607 D.F=2, Result : Do not reject Ho | Chi Sqr=5.870, Sig Val=0.2086 D.F=4, Result : Do not reject Ho |
| 1b2 | Chi Sqr=4.4523, Sig Val=0.1071 D.F=2, Result : Do not reject Ho | Chi Sqr=10.35, Sig Val=0.0349 D.F=4, Result : Reject Ho |
| 1c2 | Chi Sqr=7.080, Sig Val=.0298 D.F=2, Result : Reject Ho | Chi Sqr=2.255, Sig Val=0.688 D.F=4, Result : Do not reject Ho |
| 1d2 | Chi Sqr=.8820, Sig Val=.6433 D.F=2, Result : Do not reject Ho | Chi Sqr=4.314, Sig Val=0.365 D.F=4, Result : Do not reject Ho |
| 1e2 | Chi Sqr=.5980, Sig Val=.741 D.F=2, Result : Do not reject Ho | Chi Sqr=2.970, Sig Val=0.582 D.F=4, Result : Do not reject Ho |
| 1f2 | Chi Sqr=2.793, Sig Val=.2473 D.F=2, Result : Do not reject Ho | Chi Sqr=0.9199, Sig Val=0.921 D.F=4, Result : Do not reject Ho |
| 1g2 | Chi Sqr=2.053, Sig Val=.358 D.F=2, Result : Do not reject Ho | Chi Sqr=4.73, Sig Val=0.316 D.F=4, Result : Do not reject Ho |
| 1h2 | Chi Sqr=3.0239, Sig Val=.2204 D.F=2, Result : Do not reject Ho | Chi Sqr=6.53, Sig Val=0.162 D.F=4, Result : Do not reject Ho |
| 1i2 | Chi Sqr=3.523, Sig Val=.1717 D.F=2, Result : Do not reject Ho | Chi Sqr=2.450, Sig Val=0.6535 D.F=4, Result : Do not reject Ho |
| 1j2 | Chi Sqr=3.347, Sig Val=.187 D.F=2, Result : Do not reject Ho | Chi Sqr=2.541, Sig Val=0.637 D.F=4, Result : Do not reject Ho |
| 1k2 | Chi Sqr=.323, Sig Val=.8508 D.F=2, Result : Do not reject Ho | Chi Sqr=5.44, Sig Val=0.2445 D.F=2, Result : Do not reject Ho |
| 1l2 | Chi Sqr=1.862, Sig Val=.394 D.F=2, Result : Do not reject Ho | Chi Sqr=5.977, Sig Val=0.2008 D.F=4, Result : Do not reject Ho |
| 1m2 | Chi Sqr=2.756, Sig Val=.251 D.F=2, Result : Do not reject Ho | Chi Sqr=4.043, Sig Val=0.400 D.F=4, Result : Do not reject Ho |

TABLE 5.9 (CONTINUED)

| Cat | CAT I & CAT II | | FLY - TECH - NTGR | |
|------|---|----------------------------------|--|--|
| Ques | | | | |
| No | | | | |
| 2 | Chi Sqr=2.618, D.F=2, Result : Do not reject Ho | Sig Val=.2700 | Chi Sqr=2.296, D.F=4, Result : Do not reject Ho | Sig Val=0.681 |
| 3a1 | Chi Sqr=0.5100, D.F=2, Result : Do not reject Ho | Sig Val=.7749 | Chi Sqr=4.147, D.F=4, Result : Do not reject Ho | Sig Val=0.386 |
| 3a2 | Chi Sqr=1.012, D.F=2, Result : Do not reject Ho | Sig Val=0.602 | Chi Sqr=3.796, D.F=4, Result : Do not reject Ho | Sig Val=0.434 |
| 3a3 | Chi Sqr=.309, D.F=2, Result : Do not reject Ho | Sig Val=.856 | Chi Sqr=14.55, D.F=4, Result : | Sig Val=5.7x10 ⁻³ Reject Ho |
| 3a4 | Chi Sqr=6.598, D.F=2, Result : | Sig Val=.036 Reject Ho | Chi Sqr=9.170, D.F=4, Result : Do not reject Ho | Sig Val=0.056 |
| 3a5 | Chi Sqr=4.187, D.F=2, Result : Do not reject Ho | Sig Val=.123 | Chi Sqr=6.86, D.F=4, Result : Do not reject Ho | Sig Val=0.1534 |
| 4a | Chi Sqr=0.1988, D.F=1, Result : Do not reject Ho | Sig Val=.6556 | Chi Sqr=1.225, D.F=2, Result : Do not reject Ho | Sig Val=0.541 |
| 4b | Chi Sqr=3.07, D.F=1, Result : Do not reject Ho | Sig Val=.079 | Chi Sqr=1.465, D.F=2, Result : Do not reject Ho | Sig Val=0.480 |
| 4c | Chi Sqr=.315, D.F=1, Result : Do not reject Ho | Sig Val=.574 | Chi Sqr=4.68, D.F=2, Result : Do not reject Ho | Sig Val=0.096 |
| 4d | Chi Sqr=.618, D.F=1, Result : Do not reject Ho | Sig Val=.316 | Chi Sqr=1.315, D.F=2, Result : Do not reject Ho | Sig Val=0.577 |
| 4e | Chi Sqr=3.188, D.F=1, Result : Do not reject Ho | Sig Val=.074 | Chi Sqr=2.975, D.F=2, Result : Do not reject Ho | Sig Val=0.225 |
| 4f | Chi Sqr=6.008, D.F=1, Result : | Sig Val=.014 Reject Ho | Chi Sqr=8.546, D.F=2, Result : | Sig Val=0.139 Reject Ho |
| 4g | Chi Sqr=1.985, D.F=1, Result : Do not reject Ho | Sig Val=.158 | Chi Sqr=0.762, D.F=2, Result : Do not reject Ho | Sig Val=0.683 |

**HYPOTHESIS TESTING : STATEMENT TESTED NEGATIVE (REJECT H₀) BETWEEN
THE THREE BRANCH**

TABLE 5.10

| Cat | FLY - TECH | TECH - NTGR | FLY - NTGR |
|------|--|---|--|
| Ques | | | |
| No | | | |
| 1d1 | Chi Sqr=6.6287, Sig Val=0.01003 D.F=1 Res : Reject H₀ | Chi Sqr=10.454 Sig Val=1.223x10 ⁻³ D.F=1 Res : Reject H₀ | Chi Sqr=.706, Sig Val=0.004 D.F=1 Res : Do not Reject H₀ |
| 1g1 | Chi Sqr=12.4569 Sig Val=4.160x10 ⁻⁴ D.F=1 Res : Reject H₀ | Chi Sqr=12.128 Sig Val=4.970x10 ⁻⁴ D.F=1 Res : Reject H₀ | Chi Sqr=.1868, Sig Val=0.6655 D.F=1 Res : Do not Reject H₀ |
| 1h1 | Chi Sqr=5.537, Sig Val=0.0186 D.F=1 Res : Reject H₀ | Chi Sqr=2.976, Sig Val=0.084 D.F=1 Res : Do not Reject H₀ | Chi Sqr=.8504, Sig Val=0.356 D.F=1 Res : Do not Reject H₀ |
| 1k1 | Chi Sqr=19.63, Sig Val=9.360x10 ⁻⁶ D.F=1 Res : Reject H₀ | Chi Sqr=.036, Sig Val=0.849 D.F=1 Res : Do not Reject H₀ | Chi Sqr=23.46, Sig Val=1.210x10 ⁻⁶ D.F=1 Res : Reject H₀ |
| 1b2 | Chi Sqr=5.136, Sig Val=0.0766 D.F=2 Res : Do not Reject H₀ | Chi Sqr=3.110, Sig Val=0.210 D.F=2 Res : Do not Reject H₀ | Chi Sqr=7.830, Sig Val=0.0199 D.F=2 Res : Reject H₀ |
| 3a3 | Chi Sqr=5.1823 Sig Val=0.0744 D.F=2 Res : Do not Reject H₀ | Chi Sqr=3.630, Sig Val=0.16 D.F=2 Res : Do not Reject H₀ | Chi Sqr=13.75, Sig Val=1.040x10 ⁻³ D.F=2 Res : Reject H₀ |
| 4f | Chi Sqr=8.290, Sig Val=3.960x10 ⁻³ D.F=1 Res : Reject H₀ | Chi Sqr=2.166, Sig Val=0.141 D.F=1 Res : Do not Reject H₀ | Chi Sqr=3.287, Sig Val=0.069x10 ⁻³ D.F=1 Res : Do not Reject H₀ |

CATEGORYWISE SUGGESTION ON WEIGHTAGES TO IO/RO/SRO

TABLE 5.11

| Weightage Category | 5, 3, 2 | 5, 2.5, 2.5 | 6, 3, 1 | 7, 2, 1 | |
|--------------------|---------|-------------|---------|---------|----|
| 1A | 5 | 0 | 3 | 3 | |
| 1B | 7 | 0 | 4 | 4 | |
| 1C | 5 | 3 | 9 | 9 | |
| 2A | 5 | 0 | 2 | 4 | |
| 2B | 5 | 5 | 6 | 1 | |
| 2C | 5 | 0 | 4 | 8 | |
| Cat 1 | 17 | 3 | 16 | 16 | 52 |
| Cat 2 | 15 | 5 | 12 | 13 | 45 |
| (a) FLY | 10 | 0 | 5 | 7 | |
| (b) TECH | 12 | 5 | 10 | 5 | |
| (c) NTGR | 10 | 3 | 13 | 17 | |
| Total (a+b+c) | 32 | 8 | 28 | 29 | 97 |

Legend

- 1A : Flt Lt to Sqn Ldr - Flying branch
- 1B : Flt Lt to Sqn Ldr - Technical branch
- 1C : Flt Lt to Sqn Ldr - Non Tech Ground Duty branch
- 2A : Wg Cdr to Air Cmde- Flying branch
- 2B : Wg Cdr to Air Cmde- Technical branch
- 2C : Wg Cdr to Air Cmde- Non Tech Ground Duty branch

NOTES

1. For more detail please refer Seigal, (1956)
2. Seigal, (1956) has been referred to develop the table.
3. Seigal, (1956) has mentioned the test requirements for a case with degree of freedom > 1 .

CHAPTER : 6

RESULTS AND DISCUSSIONS

6.1 INTRODUCTION

In the subsequent paragraphs, the results based on the analysis have been discussed. On examining the Table 5.1. It has been seen that leaving a few of the statements, almost all the statements have been considered to be the problem areas in the PAS by the officers of all the five categories, though the % rate of acceptance has varied from 50 to 90%. The statements that have been strongly agreed upon and those which have been rejected, need to be considered accordingly to make the PAS more effective.

The statements have also been analysed to decide upon their criticality towards effectiveness of PAS. Certain statements have been considered more critical towards the effectiveness of PAS whereas there are some which have been considered to be just ordinary. For most of the statements, leaving a few the views expressed by the officers of all the categories are same. Reasons wherever possible have been explained.

Analysis made to judge the satisfaction level among the officers on PAS and its objectives has also been discussed in this chapter. Views of the officers across the rank and branches are almost the same on all the aspects of PAS. However, officers of Cat I have been found more critic to PAS and its objectives than officers of Cat 2. In the part III the views of officers on

suggested changes to PAS have been analyzed. The respondents have accepted all the proposals though in a few cases the acceptance rate is around 50%, whereas for others it is more than 80%. Similarly, for most of the proposals, leaving a few, the views expressed by officers of different categories are same.

6.2 PROBABLE PROBLEMS IN PAS

In the first question, 13 Statements were given to the respondents who were asked to mention whether they agree or disagree with a particular statement. Further, those who agreed were asked to mention the criticality of the statements towards effectiveness of the performance appraisal system.

6.2.1 Response Rate on Probable Problem in PAS

Response of the respondents for question 1 part (a) for all the five categories is shown in frequency tabulation in table 5.1. The corresponding percentage response rate is shown in table 5.2. The graphical representation of the 13 statements based on the table 5.2 is shown in Appendix C1 to C4. By studying the Table 5.2 the following inferences can be drawn.

6.2.1.1 Problems in PAS as perceived by Officer of Cat I & Cat II

(1) Strongly Agreed statements

The statements which have been agreed by over 70% of respondents in Cat I (Flt Lt to Sqn Ldr) and Cat II (Wg Cdr to Air Cmde) are given below with their respective percentages.

Cat I

Cat II

| Statement | Percentages | Statement | Percentages |
|-----------------|-------------|-----------|-------------|
| B Feedback | 92 | D | 92 |
| D Raters arbit | 92 | L | 86 |
| H Trg. and Dev. | 84 | B | 78 |
| L Attributes | 77 | A | 78 |
| K Prof of Rater | 74 | | |
| A Subjectivity | 74 | | |
| I Yearly pheno | 70 | | |

The above mentioned figures show that the less effectiveness of the PAS is mainly due to two factors :

- (a) Draw back in the appraisal policies = B,H,K,L (Cat 1)
B,L (Cat 2)
- (b) Draw back on the part of rater = D,A,I (Cat I)
D,A (Cat II)

Officers of Cat 1 (Flt Lt to Sqn Ldr) are more critical to the appraisal system than Cat 2 officers. But officers of both the categories have a very strong opinion in respect to the following facts as problem areas in the PAS of the IAF.

- (a) The appraisal feed back is never given to the appraisee and thus it does not help in their development. (B)
- (b) All the attributes/variables are treated at par by the PAS (L)
- (c) Subjectivity on the part of the rater who allow their personal biases and prejudices in writing the appraisal (A)
- (d) Different built in standards or frame of reference of appraisers which makes them lenient or strict. (D)

Further, officers of Cat 1 (Flt Lt to Sqn Ldr) have also considered the following facts as serious problem areas with the present PAS.

(a) Appraisal is not linked with training and development needs of the ratees (H)

(b) The rater and the ratee are from different profession (K)

(c) Recent achievements and failures become guided factors due to difficulty on the part of the rater to recall their earlier performance at the time of filling the appraisal (I)

2. Moderately Agreed Statements

The statements which have been agreed by 50% to 69% of the respondents in Cat 1 and Cat 2 are given below with their respective percentages.

| Cat 1 ----- | | Cat 11 ----- | |
|------------------|------------|-----------------|------------|
| Statement | Percentage | Statement | Percentage |
| E Central Tend. | 56 | I | 69 |
| C Objectives | 53 | H | 67 |
| F Ratee IK | 52 | K | 56 |
| G Time Consuming | 51 | | |

Slightly more than 50% officers in Cat 1 have considered the statements E,C,F and G as problem areas in the PAS. whereas more than 50% officers in Cat 2 have not considered them as problem areas in PAS and the differences are quite high. The statements which have been considered as problem areas by more than 50% of respondents in Cat 2, have been considered as serious problem areas known by the respondents in Cat 1.

(3) Not Agree Statements

The statements, in which more than 50% respondents in Cat 1 and Cat 2 have not agreed as problem areas in our PAS are

given below with their respective percentages.

| Cat 1 ----- | | Cat 2 ----- | |
|-------------------|------------|----------------|------------|
| Statement | Percentage | Statement | Percentage |
| J Personal Scores | 39 | E | 48 |
| M Same form | 45 | G | 44 |
| | | M | 46 |
| | | C | 33 |
| | | F | 30 |
| | | J | 30 |

Officer of both the categories have the same opinion regarding the following facts, which both have denied as problem areas with our PAS.

(a) Performance appraisal is used as an instrument to settle personal scores. (J)

(b) Relevance of the items on the form with respect to functions and responsibilities of the rates. (M)

Statements E,G,C,F which have been considered as problem areas by more than 50% respondents in Cat 1, have not been considered the same by more than 50% respondents in Cat 2. It shows that the opinions for these statements is not the same with officers of both the category.

6.2.1.2. Hypothesis Testing

Hypothesis testing has been carried out between Cat 1 and Cat 2 to infer whether both the samples have the same population distribution or a different one. Here, the null hypothesis H_0 is that both the samples have the same population distribution and the alternate hypothesis H_1 is that both the samples have different population distributions. The Chi (type I error) value for the test was set at .05. This means that there

is a probability of 5% error in rejecting the hypothesis when it is correct. Accepting the null hypothesis H_0 means that the opinion expressed by the two samples are same and reverse will be the case on rejecting the H_0 hypothesis. The results of the test are shown in table 5.9.

The statements for which the Chi square test says reject H_0 and in other words accept the alternate hypothesis H_1 are given below (refer Table 5.9)

| Statement ----- | Significance Value ----- |
|--------------------|-----------------------------|
| B | 4.57×10^{-3} |
| C | 3.84×10^{-3} |
| F | 1.09×10^{-3} |
| H | 3.16×10^{-3} |
| K | 7.7×10^{-3} |

Here rejection of H_0 in respect to statements B, K & H does not mean that both the categories have different opinions. Here respondents in both the categories have agreed with the statements but the Cat 1 officers have strongly agreed with the statements B, K & H (92, 74 & 84%) respectively. Whereas Cat 2 officers have shown 78%, 56%, and 67% agreement respectively with the statements. For the statement C and F the views are quite different. As can be seen from table 5.2 that 53% and 52% respondents of Cat 1 have agreed with the statement C & F whereas in Cat 2 only 33% & 30% respondents have agreed with statements C & F. The significance values upto 3rd decimal place shows that very weak similarity exists between the groups. For rest of the statements the test says not to reject the H_0 hypothesis.

6.2.1.3 Statements--Views and Status as perceived by Officers of Cat 1 and Cat 2

Taking into account the results of response rate (percentage) and hypothesis testing together, we get the following table.

Table 6.1 : Statements-- Views and Status

| ----- | | |
|------------|-------------------|---|
| Statements | Views-Cat 1&Cat 2 | Status of Agreement |
| ----- | | |
| A | Similar views | Strongly agreed by both. |
| B | Different views | Strongly agreed by both |
| C | Different views | Moderately agreed by 1 & disagreed by 2 |
| D | Similar views | Strongly agreed by both |
| E | Similar views | Moderately agreed by 1 and disagreed by 2 |
| F | Different views | Moderately agreed by 1 and disagreed by 2 |
| G | Similar views | Moderately agreed by 1 and disagreed by 2 |
| H | Different views | Strongly agreed by 1 and moderately agreed by 2 |
| I | Similar views | Strongly agreed by 1 and moderately agreed by 2 |
| J | Similar views | Disagreed by both |
| K | Different views | Strongly agreed by 1 and moderately agreed by 2 |
| L | Similar views | Strongly agreed by both |
| M | Similar view | Disagreed by both |
| ----- | | |

From the table 6.1 it can be summerised that :-

(1) The strong problem areas in the PAS identified by a large percentage of respondents (strongly agreed statements) are

A : Raters are often subjective and allow their personal biases and prejudices to interfere in the performance appraisal of their ratees.

D : Some raters are lenient, others strict, which makes it difficult to compare ratings given by different raters for promotions, career planning etc.

L : The appraisal system treats all the attributes/ variables at par i.e, all the attributes are given same weightage.

H : Appraisal is often not linked to the training and development needs of the ratees

I : The appraisal is generally an yearly phenomenon. Therefore, it becomes difficult for the raters to recall the performance at the time of filling appraisal. Hence the rater tends to be guided by recent achievements or failures.

B : Appraisal feed back is never given to appraisee and thus it does not help in their development.

(2) The moderately agreed statements which have a considerable effect on PAS are

K : The Raters and the Ratees are often not from the same profession

(3) Statements which are not seen as problem areas to PAS by both the categories

J : The performance appraisal is often used as an instrument to settle the personal scores.

M : The items on the appraisal form have no relevance to the functions or responsibilities of the ratee, i.e. the same form is used for the officers of different branches.

(4) The statements E, G, C, F fall between the moderately agreed and not agreed categories.

(5) The statements on which the officers of the two categories have different views

- B : Cat 1 Officer feels much more strongly about the lack of appraisal feedback than cat 2.
- C : Officers of cat 1 (51%) have come out with the opinion that objectives of PAS are not clear to raters which is the main cause for faulty ratings. Whereas officers of Cat II who in most of the cases act as IO/RO/SRO do not consider this statement as problem area in the PAS.
- F : Officer of Cat 1 moderately agree with the said statement because they feel that counselling/feedback is never given to them. Officer of Cat 2 do not consider it as problem area. They think the appraisal form is self explanatory which an officer can understand himself.
- H : Cat 1 officers feel much more strongly about the lack of linkage between training and development with appraisals than the Cat 2 officers.
- K : Cat 2 officers moderately agreed with the statement as problem area in the PAS whereas Cat 1 officers strongly feel about it.

6.2.1.4 Flying-Technical-Non Tech Ground Duty

To elicit the branch wise opinion of the respondents the following analysis is carried out (Refer Table 5.2, for graphical representation Appendix C3 and C4)

(1) Strongly agreed : The statements which have been agreed by over 70% of respondents in the three branches are given below with their respective percentages :

| FLY --- | | TECH ---- | | NON-TECH GROUND DUTY ----- | |
|------------|----|--------------|-----|-------------------------------|----|
| S | P | S | P | S | P |
| -- | -- | -- | --- | -- | -- |
| A | 80 | A | 73 | A | 76 |
| B | 80 | B | 87 | B | 89 |
| D | 91 | D | 100 | D | 86 |
| H | 85 | K | 76 | H | 79 |
| I | 71 | L | 80 | I | 75 |
| L | 78 | | | K | 77 |
| | | | | L | 83 |

Officers of all the 3 branches have a very strong opinion in respect of the following facts as a serious problem areas in the PAS.

- (1) Appraisal feed back is never given to appraisees and thus it does not help in their development.
(Statement B)
- (2) All the attributes/variables are treated at par by the PAS. (Statement L)
- (3) Subjectivity on the part of the rater who allows their personal biases and prejudices in writing the appraisal reports. (Statement A)
- (4) Different built in standards or frame of reference of appraisers which makes them lenient or strict.
(Statement D)

Further, officers of the flying and non-technical ground duty officers have strongly viewed the following statements as problem areas in our PAS.

H : Appraisal is often not linked to the training and development needs of the ratees

I : The appraisal is generally an yearly phenomenon. Therefore, it becomes difficult for the raters to recall the performance at the time of filling appraisal. Hence the rater tends to be guided by recent achievements or failures.

In technical branch the percentage of respondents who have agreed with the statements H and I are respectively 67% & 63%. (Closer to strongly agreed). In respect to statement K the views between Tech-Flying and Non Tech Ground - Flying are entirely different (refer Table 5.2). Tech and Non Tech Ground considered the statement as serious problem in the PAS whereas flying branch officers totally disagree with the statement. This is because, most of the time in service life, a flying branch officer is initiated upon by a flying branch officer only. Whereas, this is not the case with Tech and other Non Tech Ground Duty branches. Officers in these two categories are required to work under officers from different branches.

(2) Moderately Agreed statements

The statements which have been moderately agreed by more than 50% respondents as a problem area in the PAS are given below :-

| Flying | | Technical | | Non Technical Ground Duty | |
|--------|------|-----------|------|---------------------------|------|
| S | P | S | P | S | P |
| -- | -- | -- | -- | -- | -- |
| G | (60) | H | (67) | E | (57) |
| | | I | (63) | G | (56) |
| | | E | (53) | M | (50) |
| | | M | (50) | | |

Approximately 60% respondents of flying and Non Technical Ground duty have expressed their opinion that the no of attributes to be rated are too many and thus over burden the rater. This makes our appraisal time consuming. Whereas the opinions of tech branch officer are entirely opposite. Here, just 29% officers have agreed with the statements. Statements H and I are viewed as problem areas in the PAS by 57% and 63% respondents in technical branch. These statements have been strongly agreed by Flying and Non Tech Ground duty branches and viewed as serious problems to the PAS. The statement 'E' has been agreed by 53% and 57% officers in tech and non Tech Ground duty branches respectively, who consider it as a problem area in the PAS. This error is known as central tendency error. In flying branch, only 45% officers agree with the statement. 50% respondents in Tech and Non Tech Ground duty branch have agreed with the statement 'M' as a problem area in the PAS, whereas 65% officers in flying branch have disagreed with the statement and do not consider the necessity of having appraisal forms according to the branches. A large no. of cases of disagreement have appeared in the flying branch because the appraisal form used by them assesses their flying performance and capabilities.

(3) Not Agreed Statements

The statements which less than 50% respondents in all the 3 branches have agreed to be the problem areas in the PAS are given below.

| Flying | Tech | Non Tech Ground Duty |
|--------|--------|----------------------|
| E (45) | C (49) | F (48) |
| F (44) | F (39) | C (45) |
| C (38) | J (37) | J (37) |
| K (36) | G (29) | |
| M (35) | | |
| J (29) | | |

Statements C, F, J have been disagreed as problem areas to the PAS by more than 50% respondents in all the three branches.

6.2.1.5 Hypothesis Testing

The results of the hypothesis testing carried out between the three branches i.e. Flying, Technical, Non Technical Ground Duty are shown in Table 5.9 and 5.10.

The statements for which Chi square test for the three branches says to reject the H_0 hypothesis are given below

| | |
|---|-----------------------|
| D | 6.3×10^{-3} |
| G | 3.08×10^{-4} |
| H | 0.0428 |
| K | 4.5×10^{-7} |

These statements have been further tested in a group of two to find out the exact pair of branches which differ in their opinions. (Refer table 5.10). On referring the table 5.10 the following results have been inferred.

| Statement | Similarity in opinion | Disimilarity in opinion |
|-----------|-----------------------|-------------------------|
| D | FLY-NTGR | FLY-TECH, TECH-NTGR |
| G | FLY-NTGR | FLY-TECH, TECH-NTGR |
| H | FLY-NTGR, TECH-NTGR | FLY-TECH |
| K | TECH-NTGR | FLY-TECH, FLY-NTGR |

Here rejection of H_0 in respect of Statement 'D' and 'H' does not mean that the opinions of the three branches are entirely different. Here, statement D has been strongly agreed by all the 3 branches but the difference lies in the response percentages. Similarly the statement H has been agreed by the officers of technical branch whereas the officer of Flying and Non Technical Ground Duty branches have strongly agreed with the statement. For the statement G the view of respondents of the technical branch are entirely different from the views expressed by the other two branches. Similarly for statement K the flying branch officers have a different opinion than the officer of the other two branches.

6.2.1.6. Findings

Based on the results of the Hypothesis test and the percentage response rate the inferences drawn are :

(1) The statements which have been viewed as serious problems to our PAS by all the three branches are A, B, D, L, H, I (Percentage agreed in technical branch are marginally low for statements H & I).

(2) Statements which have not been viewed as problem areas in our PAS by all the three branches are C, F, J, E, M

(3) Statements which have been viewed as problem areas in our PAS by all the three branches are K, G

(4) Statements for which differences in opinion exists

D : Not equally high by all the three branches

G : Not considered as problem area by technical, moderate problem area by flying and non tech ground duty

H : Serious problem area by flying and non tech ground duty, moderate problem to PAS by technical

K : Serious problem to PAS by technical and non tech ground duty branch, not considered as problem area by flying.

6.2.1.7 Overall Conclusion

Hence it can be concluded that

(1) The statements which need serious concern are

A, B, D, L, H, I

(2) The statements which need moderate concern are

K, G

(3) Statements which need no concern are

F, E, M, C, J

6.3 CRITICALITY OF THE STATEMENTS

In order to comment on the criticality of the statements towards effectiveness of the PAS, a mean value chart was made for all the 13 statements and for all the five categories. The same is shown in table 5.4.

The scale designed to comment on the criticality i.e. whether the statement is just ordinary, critical or most critical

towards effectiveness of PAS is given below :-

Mean score from 1.5 to 2.0 = Ordinary statement

Mean score from 2.01 to 2.25 = Critical statement

Mean score from 2.26 to 2.60 = Most critical statement

Referring the mean chart and the scale of criticality the statements for all the five categories has been arranged in descending order of the criticality as shown in table 6.2.

CRITICALITY OF STATEMENTS

TABLE NO. 6.2

| Cat I (Flt Lt to Sqn Ldr) Most critical | Cat II (Wg Cdr to Air Cmde) | Fly | Tech | NTGR |
|---|--------------------------------|----------|----------|----------|
| B (2.41) | J (2.52) | D (2.54) | D (2.49) | B (2.47) |
| H (2.37) | D (2.40) | J (2.43) | H (2.55) | J (2.44) |
| L (2.31) | L (2.8) | L (2.34) | B (2.41) | L (2.40) |
| A (2.29) | B (2.27) | | A (2.29) | A (2.35) |
| | | | | D (2.33) |
| | | | | H (2.32) |
| Critical | | | | |
| D (2.22) | H (2.21) | H (2.17) | L (2.13) | E (2.1) |
| J (2.21) | A (2.20) | B (2.14) | J (2.11) | F (2.05) |
| E (2.07) | I (2.09) | I (2.10) | I (2.11) | C (2.02) |
| C (2.03) | G (2.08) | A (2.05) | C (2.08) | K (2.01) |
| I (2.03) | F (2.03) | | E (2.08) | |
| | C (2.03) | | | |
| Ordinary | | | | |
| G (2.0) | K (1.98) | F (2.0) | K (1.98) | I (2.0) |
| K (1.97) | E (1.97) | C (1.95) | G (1.95) | M (1.8) |
| F (1.96) | M (1.809) | G (1.89) | F (1.88) | G (1.8) |
| M (1.78) | | E (1.84) | M (1.8) | |
| | | K (1.80) | | |
| | | M (1.58) | | |

6.3.1 Comparison between Cat I and Cat II (General Comments)

The entire sample (Cat I & Cat II) has considered the statement B & L as most critical towards the effectiveness of

PAS. They reason out that the present system does not cater for any formal feed back to the ratee. Only the adverse comments, when made are communicated to the appraisee along with the ratings on attributes adjusted at below average level. Ratees come to know about their performance only at the time when they are considered for promotion to Wg Cdr i.e. after 16 to 18 years of service. In the absence of feedback they never come to know about their standing in the organisation as well as their weak points and strength in order to improve upon. All these factors generate a feeling that he is not a part of the system and the organisation uses the appraisal form to meet their own requirements than the employee's requirement.

Similarly, the entire sample has considered that the present system of equal weightage to all the attributes is the most critical problem area towards effectiveness of our performance appraisal system. The general feeling is that the professional knowledge and other performance related attributes are treated at par with personal traits like honesty, integrity, appearance and bearing etc. Similarly for a pilot, his flying skills and proficiency is much more important in war theatre, for which he is prepared than his appearance and bearing. Therefore, officers have strongly expressed their view to consider the above mentioned aspect to make the appraisal system more effective.

Statements A and H have been considered most critical by Cat I (Flt Lt to Sqn Ldr) officers whereas Cat II officers have viewed both the statements as critical statements (on the higher side. Similarly statements D,J have been considered most

critical by Cat II (Wg Cdr to Air Cmde) officers whereas Cat I officers have viewed them as critical statements (on the higher side).

Hence it can be inferred, that the entire sample consider the following statements as a serious threat to the PAS. A, B, L, H, D, J

Regarding Statement J the point is to be noted that almost 70% of respondents have disagreed with the statement as being a problem area to the PAS but those respondents who have accepted this statement to be a problem area in the PAS, have considered it to have a most critical effect on the effectiveness of PAS. Rest of the statements (A, B, L, H, D) have been strongly agreed by the entire sample as a problem with the PAS.

Respondents of both the categories have considered statements M and K as just ordinary statements. Thus it can be inferred that the rater and the ratee being from different profession do not possess any problem to our PAS. Similarly there is no necessity to consider separate forms for each branch. The same form is just sufficient for all the ground duty branches.

Statements C and I have been viewed to be critical towards effectiveness of PAS by the respondents in both the categories i.e. I & II. The different opinions can be seen in respect of statements E, F and G (refer above table). Cat II Officers (Wg Cdr to Air Cmde) have considered the statement F and G as critical. Officers of this category play all the three roles i.e. IO/RO/SRO and if they consider the appraisal as time consuming then, we should have a fresh look to redesign our appraisal form to bring down the no. of attributes. Even the

officers in Cat I have viewed it as critical (m.v = 2.0). The officers in Cat I have mentioned that the attributes are too many and are vague and some even overlap each other. Secondly officers have also expressed their view that the attributes like honesty, integrity can not be measured on a numerical scale.

Similarly, regarding statement F the officers of Cat II have a strong feeling that the ratees are not aware of the criteria on which their performance will be judged. This suggests us to educate the junior officers with various aspects of PAS. Whereas officers in Cat I have viewed statement F as just an ordinary statement.

6.3.2 Hypothesis Testing

Chi square test was carried out to see whether the opinion expressed by different groups (Cat I & Cat II and between Flying, Technical, Non Tech Ground Duty Branches) is the same or a different one. The results of the test are shown in tables 5.9 and 5.10. We draw the following inferences.

6.3.2.1 Cat I and Cat II

The Chi square test says that the views of the respondents of Cat I and Cat II for all the statements on criticality of the statements towards effectiveness of PAS are similar. For a few statements if differences exist, are very minimal as inferred by the significance value of the test. (Refer Table 5.9)

6.3.2.2 Fly-Tech-Non Tech Ground

Among the officers of all the three branches except the statement B there is a similarity in views about the criticality of statement towards PAS. Even if differences exist between the branches, it is very minimal such that Chi square test still accepts the H_0 hypothesis.

In respect of the statement 'B', further, the tests were carried out between the pair of branches (refer table 5.10). From the table it can be inferred that difference in opinion exist between flying and Non-Tech Ground Duty Branches. The non tech ground duty and Tech branches have considered it to be a most critical item whereas flying branch have considered it as just a critical item (on higher side of the scale). Therefore, it can be said that the reason of rejecting the hypothesis does not mean that views are entirely different.

6.3.3 Final Results

Thus on combining the results of hypothesis test and mean value chart, the following results can be concluded for the entire sample with respect to rank i.e. Cat I and Cat II.

(a) Most Critical statements

B, L, D, J, H, A

(b) Critical statements

I, C, G, F

(c) Ordinary statements

E, K, M

6.3.4 Comparison Between The Three Branches

On referring the table mentioned above, where the

statements have been arranged in decreasing order of criticality, it can be seen that the picture is a little different between the branches but the differences are very little. Further, the hypothesis testing has also proved that there are no significant differences on the opinions expressed by respondents of the three branches. Therefore the following conclusions can be drawn

(1) Statements which have been viewed most critical

D, H, B, A, L, J

(2) Statements viewed critical by all the three branches are I, E, C

(3) Statements viewed ordinary by all the three branches are F, K, M, G

6.4 SUGGESTIONS

On the basis of the analysis made in the above mentioned sections 6.2 and 6.3, the following measures of reform are suggested :

(1) In order to overcome the problems regarding the rater's biases, subjectivity, leniency, overstrictness, inconsistent rating and lack of clarity of appraisal goals, all the officers involved directly or indirectly to the appraisal process need to be trained. Such a training should aim at clarifying appraisal objectives, developing common understanding about the process, the norms and the dimensions of performance appraisal. Besides the training should develop a culture of openness and trust to facilitate feedback and post-performance appraisal review.

(2) The acceptance of appraisal comments, to a large extent, depends upon a clear perception of the roles an individual is supposed to perform. Role ambiguity usually leads to confusion, which consequently affects performance as well as evaluation. It is therefore, imperative that every appraisal system should be coupled with role clarity and job description.

(3) Appraisal acceptance can be increased by continuous feedback on the performance and behaviour of the appraisees. Through the feedback the appraisee will come to know about his standing in the organisation, his weak as well as strong points to improve upon. This will develop a feeling of being a part of the system.

(4) Erratic and inconsistent ratings are not necessarily the result of prejudices and biases on the part of the appraiser. They may be the result of ignorance about the subordinate's actual performance and behaviour. Further, it has been noted that this being an yearly phenomenon, rater finds it difficult to recall the performance at the time of filling the reports and therefore tend to be guided by recent achievements or failures. Such problems can be overcome by introducing a performance / achievement information system. This system should aim at providing performance/achievement data to the raters.

(5) The objectivity of appraisal would always be doubted if the appraisal is done secretly. Appraisal result should be discussed and communicated to the ratees. Further, ratees should be given an opportunity to clarify their doubts regarding appraisal ratings.

(6) At present the system serves more or less a conventional evaluative role. It should be redesigned to play a developmental role taking care of the appraisees need for training and development. In the present form the identification of training and development needs as well as assessment for potential are grouped together with the other important aspects in the Part III of appraisal form. It is rightly said that sometimes when a single appraisal form is used for several different purposes, the results for one or more of those purposes may be skewed. To avoid this, the appraisal document should have distinct sections for different purposes for which it is intended to be used. Large no of organisations both in Public and Private sector use an appraisal form having different sections to suit the purposes it is aimed at.

(7) The present appraisal system is oriented more towards the personality trait than performance. An overwhelming majority (90%) of respondents have suggested to give more weightage to performance trait in comparison to personality traits. The appraisal system in SAIL gives 66% weightage to performance traits and 34% weightage to personality traits (Bansal, 1991). Taking views of the officers into account the performance traits should be given more weightage than the personality traits. The suitable weightage structure can be designed by a separate study.

6.5 SATISFACTION LEVEL OF OFFICERS TOWARDS PAS AND ITS OBJECTIVES QUESTION 2 & 3

Question 2 & 3 (a) were designed to elicit the satisfaction level of the respondents with the present performance

appraisal system. The satisfaction level was judged on a five point rating scale. Table 5.5 showing the no. of respondents under the five categories selecting one of the five points of the rating scale. Table 5.6 shows the mean value for a particular question under the given five categories. The graphical representation is attached at Appendix C9 and C10.

In 3(b) the respondents have given the reasons for selecting a statement 3(a) either least satisfactory or not satisfactory. The same has been analysed under qualitative analysis (Section 5.5). Referring the mean figure table 5.6, the following conclusions have been drawn.

6.5.1 Overall Satisfaction with PAS (Question 2)

(1) The overall satisfaction on the existing performance appraisal system as expressed by Cat I (Flt Lt to Sqn Ldr) officers is little higher than 'OK' and exactly the same opinions have been expressed by officers of Cat II (Wg Cdr to Air Cmde). Few of the respondents have written down the weaknesses present in our appraisal system. Few respondents have also given suggestions to make the appraisal system more satisfactory.

(2) On examining the branchwise satisfaction level as expressed by respondents in Flying, Technical and Non-Technical Ground Duty branches, it has been inferred that the satisfaction level in all the three branches is little higher than OK. Technical branch officers have viewed the overall system least in the said category and the flying branch have viewed it the most in the said category.

(3) **Hypothesis Testing** : A Chi square test was carried out to see if any difference exists in the views expressed by respondents in the different categories. the results of tests are shown in table 5.9 and 5.10 . The following conclusions have been drawn.

(a) On comparing the results of Cat I with Cat II, the Chi square test says do not reject the hypothesis which means that, the opinions are quite similar in both the categories as can be seen in graphical representation attached in Appendix C9. The significance value of the test is 0.27 which is quite high.

(b) On comparing the results between the three branches i.e. Fly, Tech, NonTech Ground Duty the test again says 'do not reject Ho' Hypothesis which means views of the respondents of all the three branches are same on the said question. A high value of significance tells high similarity of views in all the three groups over the said question. (Refer Appendix C10 for graphical representation).

6.5.1.1 Final Conclusions

(1) The overall satisfaction level with the present PAS as expressed by the entire sample (Flt Lt to Air Cmde) as little higher than OK.

(2) Strong similarity exists in the opinions of respondents.

6.5.2 Satisfaction With Objectives of PAS (QUESTION 3)

Five objectives of the PAS have been tested on the respondents. Their reference numbers are 3A1.....3A5. The mean

value table 5.6 shows the mean values of these objectives (3A1...3A5) under the five categories. The graphical representations of the same are attached at Appendix C9 to C10. Referring table 5.6. the following inferences are drawn.

6.5.2.1 Suitability for Promotion (QUESTION 3A1)

(1) In the question 3A1 the satisfaction level of officers on how effective is the PAS in determining officers' suitability for promotion has been studied. It is seen that officers in Cat I have their satisfaction level a little higher (3.35) than OK. Exactly similar views have been expressed by officers of Cat II (3.36). The similarity of views can be seen from the graphical representation attached in Appendix C9.

(2) To elicit the branch wise opinion on question 3A1 please refer table 5.6. The satisfaction level of the Flying branch officers is closer to 'Satisfactory' (3.6) whereas the officers of Technical and Non Tech Ground Duty Branches have shown the satisfaction to be a little higher than OK (3.23, 3.33 respectively). The reason behind this appears to be that the promotion aspects are much better in the flying branch than in the technical and other ground duty branches, which gives them relatively more satisfaction.

(3) **Hypothesis testing :** Results of the Chi square test are shown in table 5.9. The inferences drawn are : Test says do not reject the hypothesis H_0 in respect of Cat I & Cat II as well as between the three branches. This shows that the views expressed by respondents of the five categories are same and no significant difference exists between the categories.

6.5.2.2 Placement of Officers (QUESTION 3A2)

(1) In question 3A2 the satisfaction level of officers on the effectiveness of PAS in deciding placement of officers to various appointments has been studied. It is seen that the satisfaction level of officers in Cat I (2.97) is slightly lower than OK which is quite a noteworthy finding. A few officers of this category have given the weaknesses existing in our system and similarly a few have given suggestion too. These aspects have been analysed in qualitative analysis. The satisfaction level of officers in Cat II (3.05) is just OK, which suggests that the system needs some refinement.

(2) To elicit the branchwise opinion on this question refer table 5.6. The satisfaction level of officers in Flying and Non-Tech Ground Duty Branches is just 'OK' whereas in Technical branch it is slightly lower than OK.

(3) **Hypothesis Testing** : The Chi square test again tells not to reject the hypothesis H_0 in respect of Cat I and Cat II. A high value of significance shows that the views are quite similar. Similarly the views expressed by officers of three branches are quite similar. A slightly lower significance value in Flying Tech and Non Tech Ground duty suggests that tech branch officers have very little difference in opinion, with the other two branches but the same is not significant.

6.5.2.3 Training and Development Needs (QUESTION 3A3)

(1) In the question 3A3 the PAS objective in meeting the training and development needs of the officers has been studied.

The table 5.6 shows that the respondents in all the five category have shown a satisfaction level less than OK which shows that officers have a feeling that the present PAS is not used very effectively in meeting the training and development needs of the officers. It just plays a conventional evaluative role and fails to play a communicative and a developmental role. This is a very significant finding and suitable measures would have to be instituted to overcome this perception of the officers.

(2) **Hypothesis Testing :** The result of Chi square test shows that the opinions of respondents in Cat I and Cat II are same and a very high value of significance (0.856) shows that there is no significant difference at all and the similarity of views is very strong. The Chi test in respect of branches i.e. Flying, Tech, Non Tech Ground Duty says to reject H_0 hypothesis. Here, rejection of hypothesis does not mean that the views expressed by respondents of the different branches are opposite. All the three branches have expressed their satisfaction level on the said objective to be less than OK but the feeling is very strong in Non Tech Ground Duty branch in comparison to Flying branch, which has resulted into rejection of the null hypothesis H_0 .

6.5.2.4 Selection for Important Courses in Indian and Abroad

(QUESTION 3A4)

(1) In question 3A4 the satisfaction level of officers on the effectiveness of PAS in deciding the selection for important courses in India and abroad has been studied. The officers of

Cat I have shown their satisfaction level to be just 'OK' whereas Cat II officers have shown the satisfaction to be a little above the 'OK' level.

(2) Among the three branches, the satisfaction level of officers of technical branch is a little less than 'OK'. Whereas flying and Non-Tech ground duty branch officers have satisfaction little more than OK.

(3) **Hypothesis Testing** : Chi square test infer the following facts

(a) The null hypothesis H_0 between Cat I and Cat II officers have been rejected. Here the rejection of H_0 has occurred because a significant difference exist in the mean values otherwise officers of both the categories have satisfaction level a little above than 'OK'.

(b) The null Hypothesis H_0 between Flying and Tech branch has been rejected. Here a considerable difference in opinion exists. The Tech branch officers have satisfaction little less than OK whereas the flying branch officers have satisfaction little more than OK. Similarly, Non Tech Ground duty branch officers have shown satisfaction level closer to flying branch officers than the tech officers. But the test finds out no significant difference in opinion of Tech and Non Tech Ground duty branch upto a significance value of 0.100.

6.5.2.5 Adequacy of Performance Appraisal Form (QUESTION 3A5)

(1) The satisfaction shown by officers of all the five categories is little above the OK level. The weaknesses and the suggestions given by officers have been discussed in qualitative

analysis. The officers of Cat II have shown more satisfaction than officers of Cat I. Similarly among the three branches the flying branch officers have shown more satisfaction than the other two branches and the tech branch officers have least satisfaction among the three branches.

(2) **Hypothesis Testing** : Chi square test between Cat I and Cat II officers says do not reject the null hypothesis H_0 . Thus the opinion rendered by officers of Cat I and Cat II are same without any significant difference. Chi square test has noticed a difference between officers of Flying and Tech branch as hypothesis test says to reject the null hypothesis H_0 . But again the rejection of Hypothesis does not mean that views are opposite. Both have rendered similar views but flying branch officers have little more satisfaction than technical branch officers. The views expressed by officers in two other groups i.e. Tech - Non Tech Ground Duty and Flying & Non Tech Ground Duty are same with no significant differences.

6.5.3. Overall Findings

The various findings made in the section 6.5.1 and 6.5.2 on the satisfaction level of the officers with the PAS and its various objectives are summarized in a tabulated form as given below in Table 6.3

FINDINGS ON SATISFACTION LEVEL WITH PAS AND ITS OBJECTIVES

TABLE 6.3

| Item under test | Cat I | Cat II | Result of hypothesis | Fly. | Tech. | NTGR | Result of hypothesis |
|---|--------------------------------|-------------------------------|---------------------------------|------------------------------------|--------------------------------|-------------------------------|--|
| 1. Over all satisfaction with the PAS | Little higher than OK 3.19 | Little higher than OK 3.20 | Very strong similarity in views | Little higher than OK 3.27 | Little higher than OK 3.11 | Little higher than OK 3.21 | strong similarity in views |
| 2. Determining Officers suitability for promotion | Little higher than OK 3.35 | Little higher than OK 3.36 | Very strong similarity in views | More closer to satisfactory 3.6 | Little higher than OK 3.23 | Little higher than OK 3.33 | similarity in views |
| 3. Placement of officers to various appointments | Slightly lower than OK 2.97 | Just OK 3.06 | High similarity in views | Just OK 3.05 | Slightly lower than OK 2.97 | Just OK 3.01 | Similarity in views |
| 4. Meeting, Training & Development Needs | Much below OK 2.76 | Much below OK 2.8 | Strong similarity in views | Lower than OK 2.94 | Much below OK 2.71 | Much below OK 2.71 | Views are dissimilar between fly & NTGR |
| 5. Selection for important courses in India and abroad | Just OK 3.04 | Little higher than OK 3.29 | dissimilar views | Little higher than OK 3.29 | Slightly lower than OK 2.98 | Little higher than OK 3.21 | Views are dissimilar between Fly and Tech. |
| 6. Adequacy of performance appraisal form to bring all aspects of performance | Little higher than OK 3.13 | Little higher than OK 3.29 | similarity in views | Little higher than OK 3.27 | Little higher than OK 3.11 | Little higher than OK 3.21 | Similarity in views |

The third part of the questionnaire seeks the respondents' suggestion on some of the changes in the PAS and were asked to comment upon the need for such changes in the present PAS. The frequency tabulation, percentage response rate and the results of hypothesis testing are shown in the table 5.7, 5.8, 5.9 and 5.10. The graphical representation of percentage response rate is attached in Appendix C11 and C12. The question wise analysis was carried out is shown below.

6.6.1 Self Appraisal (Q4 A)

The present Performance Appraisal System does not include self appraisal as its component, though the subject is under due consideration. Researchers have noted several potential advantages that may result from incorporating self appraisals into traditional performance appraisal processes. Some of them have been discussed in Section 2.4.3.

Keeping in mind the above mentioned facts a survey was conducted on the sample. The findings of the survey are shown in tables..5.7 and 5.8. The graphical representation is attached and the results of the hypothesis test are shown in Table 5.9. The various inferences drawn are :-

- a) Majority of the respondents in all the five categories have agreed with the proposal by saying "Yes" to the suggestion. The graphical chart shows the same (Appendix C11 and C12).
- b) Results of Chi Square test says do not reject null hypothesis H_0 . Thus the opinions expressed by Cat 1 and Cat II

as well as Officers in Flying, Tech and Non Tech Ground Duty branches are similar . A very high value of significance suggests a very high order of similarity of views. The officers who have supported the proposal have a very strong feeling that the self appraisal based performance evaluation systems increase communication between raters and ratees regarding job content, performance criteria, and mutual expectations, thus reducing ambiguity in the appraisal process and resolving rater-ratee disagreement. Similarly the main fear in the mind of respondents who have not accepted the proposal is that a written account of performance by the ratee is likely to colour the judgment of the appraiser. An appraisee may misuse this facility to sell himself. Also a situation can arise where a considerable difference between appraisee and appraiser can develop and this could lead to confrontations and bad feelings.

After balancing the merits and demerits and considering the results of the survey it is strongly suggested to incorporate self appraisal into the traditional appraisal system.

6.5.2 Upward appraisal (4B)

The present PAS in the IAF does not have the upward appraisal as its component. A growing number of companies now use subordinates as formal sources of appraisal for superiors and management. Organisations which recently have installed upward appraisal systems include Bank of America, Wells Fargo, Exxon , Tennoco, the world Bank, British Petroleum (Mc Evoy , 1985). Some of the advantages of upward appraisal have been

discussed in section 2.4.3.

To see the views of IAF Officers' on the upward appraisal an opinion survey was conducted. The various findings have been mentioned in frequency tabulation, percentage response rate chart (as shown in table 5.7 and 5.8). A graphical representation is attached in Appendix C11 and C12). The results of hypothesis testing are attached in table 5.9. The inferences drawn from the findings are :-

1. The proposal of upward appraisal has been accepted largely by Cat 1 officers (64%) whereas in cat 2 only (52%) officers have accepted the proposal. The views expressed against the proposal mostly are that in the defence set up, to maintain the strict discipline, it is not feasible to ask for assessments from the juniors. Also officers feel that by using upward appraisal the supervisor may focus on pleasing subordinates in an effort to get higher appraisals. This will also result in lowering the authority of higher officers. Similarly the respondents who have supported the proposal have a feeling that the supervisors who receive subordinate appraisals along with top-down appraisal will consider the appraisal data more helpful for improving their performance than supervisors who receive the data from only one of the sources.

2. Among the three branches, officers of technical branch have shown the greater acceptance to the proposal than the other two branches (refer table 5.8).

The low rate of acceptance of the proposal and keeping in mind the defence set up it cannot be suggested outrightly to implement the proposal. It needs some more detailed research

on the subject.

6.5.3 PERFORMANCE COUNSELLING (Q4C)

The Indian Air Force order (2/90), lays down that the performance level of the appraisee, his strengths and weaknesses as well as suggestions for improvement be conveyed to him during periodic contacts or interview whereas in actual practice the implementation of the above order is not carried out. Although it is a known fact that this factor alone can bring about substantial satisfaction to the individual officer. If the counselling is conducted in a proper way the person comes to know his weak points such that he gets a chance to improve upon. Secondly he feels himself to be a part of the system, which is very important for the success of any system. Further, an appraisee becomes more objective in his approach towards his work.

To elicit the opinion of the officers on the above subject a survey was conducted on the sample. The findings of the survey are shown in tables 5.7 and 5.8. The various inferences drawn are:

- (1) An overwhelming majority (over 90%) of the respondents in all the five categories have accepted the proposal.
- (2) A Chi Square test of hypothesis also proves that the opinion of respondents in Cat I and Cat II as well as in the Flying, Technical, and Non Tech Ground Duty branches are same.

Based on the survey findings and the advantages of the performance counselling in achieving the effective PAS, it is suggested to incorporate the performance counselling as an important part of the PAS and the same should be conducted in a

more effective manner on a periodic basis through out the year.

Based on the discussion with the IAF officers the researcher has a strong feeling that the effectiveness of the performance counselling can be achieved by the following measures.

(1) By conducting it in a formal way where the recording of the exercise is maintained in writing as well as also conveyed in writing to the appraisee.

(2) It should be conducted quarterly on a predefined schedule.

(3) Using performance counselling in setting the goals for the appraisee as well as seeing the progress of the same.

6.6.4 Feedback on Reports as and when raised (Q4D)

A very straight forward question was asked to the respondents, whether they want the report to be shown to them as and when it is raised before forwarding it to the Review Officer.

The findings of the survey are recorded in frequency tabulation and percentage response rate chart as shown in tables 5.7 and 5.8. The graphical representation of the findings is attached in Appendix C11 & C12. The result of Chi Square hypothesis test are shown in table 5.9. The inferences drawn from the finding are

(i) The suggested change has received a mixed opinion from the respondents. Response of officers in Cat I (60%) is marginally ahead of Cat II (55%) officers.

(ii) Respondents in all the three branches also have shown a mixed feeling for the suggested change. Refer Table 5.8.

(iii) Chi square test proves that views of the respondents in Cat I & II as well as between Flying, Technical and Non-Technical Ground Duty branches are the same and there does not exist any significant difference among the respondents of the two groups. A high value of significance tells that a strong similarity of views exists among the various categories.

(iv) One interesting finding has been observed that respondents with overwhelming majority (>80%) in all the five categories have strongly agreed that in the IAF PAS no feedback is given to appraisee and thus it does not help in their development. They have considered it as a serious problem area towards effectiveness of the PAS. Whereas this suggested change to PAS regarding feedback to appraisee has been rejected by approximately 45% officers in Cat I and Cat II respectively. Thus a large number of officers do not consider the given proposal as the right measure to give feedback to appraisee.

The main fear in the minds of respondents which may be responsible for little support for the proposal is that in case the reports are shown to the appraisee, a difference of opinion between the rates and rater may lead to grievances and representations by the ratees on one end, and over assessment or hesitation for truthful reporting by the rater on the other end.

Those who have supported the proposal give the example of the Indian Army where the reports are shown to the ratees before forwarding it to the Reviewing Officer. Their main concern was that when such a system can work with one defence set

up than why it cannot work with the Indian Air Force. Others, who have rejected the problem see the system in Army as overassessed.

Based on the Survey findings and the reasons given by the Officers on either side, it is difficult to say whether to accept or reject the proposal. It needs to be viewed objectively in order to find out what is the best for the IAF.

6.6.5 Weightage to Assessment in Relation to the Appointment (Q4E)

In the present appraisal system an officer is assessed in his rank on the basis of his performance on duties pertaining to the appointment held by him. Assessment of officers of the same rank in different appointments are treated at par. It is strongly felt that some appointments involve greater risk, responsibilities and multifarious activities whereas some others are easy which require limited skills. With this background this question was put to the officer. The results of the survey are shown in Tables 5.7. & 5.8. The graphical representation of the findings is attached in Appendix C11 & C12. The results of the hypothesis testing are shown in Table 5.9. Various inferences drawn from the findings are

(i) The respondents of Cat I (71%) have strongly agreed with the proposal whereas only 59% Cat II respondents have agreed with the proposal.

(ii) Among the three branches, the technical branch has favoured the idea most (73%), whereas there is less acceptance from

flying branch (58%) and non technical ground duty branches (66%).

(iii) The results of hypothesis testing says do not reject the null hypothesis which means, the opinion expressed by the Officers of Cat I and Cat II as well as by Flying, Technical and Non-Technical Ground Duty branches are same, with no significant difference. The low value of significance between Cat I and Cat II and between Flying and Technical branch suggest that similarity of opinion is not very strong.

Some of the difficulties associated with the implementation of the proposal are :

- (a) Placement of the officers to various appointments will become extra difficult.
- (b) It will create a feeling of complex in the mind of those who were placed on easier appointments.
- (c) There is no job or appointment easy or hard provided the person is prepared for the job.
- (d) The appointments which require extra on the part of an officer also offer opportunities to show his capabilities.
- (e) The challenging element of appointments will keep varying with the time and thus assigning weightage would have to be a dynamic process.
- (f) A potentially sound officer will be efficient in all the assignments.

A perusal of these views brings out the fact that allocating weightages to assessments in accordance with the appointment held is neither an easy task nor a wholesome

solution. Therefore, at this stage it is recommended not to implement the proposal in the present PAS in the IAF.

6.6.6 Appraisal Workshops at Station Level (Q4F)

The present appraisal system does not realize the importance of training the officers on the various aspects of appraisal. At present a week long appraisal workshop is conducted by the Personnel staff officers to educate officers on the various issues of appraisal system. On an average annually 15 workshops are conducted by Personnel staff and with an average of 20 officers in each workshop. Thus maximum number of officers who get annually trained is approximately 300. If the same course is conducted at the station level, then a large no. of officers can be trained at one point of time.

To see the opinions of the officers a survey was conducted. The results of the survey are placed in Table 5.7 & 5.8. The graphical representation of the findings is attached in Appendix C11 & C12. A Hypothesis analysis was also carried out to see the similarity of views in various categories. The results are shown in Table 5.9 & 5.10. The inferences drawn from the findings are

- (i) An overwhelming (over 80%) majority of respondents in all the 5 categories accept the proposal. Officers in Cat 1 (Flt Lt to Sqn Ldr) have seen the idea with great enthusiasm (92%) (refer table 5.8). They have a very strong feeling for having the appraisal workshop to be conducted in large numbers.

(ii) Among the three branches the Flying Branch Officers have liked the idea the most (96%) and the Technical branch has liked the idea the least (79%).

(iii) Results of Chi Square test says to reject the null hypothesis H_0 between Cat I and Cat II as well as between Technical and Flying branch. The rejection of hypothesis does not mean that opinions are different. Here views expressed are same but the differences lies in the response rate (Cat I 92% and Cat II 80%).

Based on the survey findings, it is recommended that the responsibility of conducting appraisal workshop should be given to the Air Force Stations. Suitable systems can be designed for conducting the appraisal workshop at the station level. One such solution is given below :

- (a) At each Air Force Station the responsibility of conducting the appraisal workshop should be given to the Station Education Officer.
- (b) Station Education Officer can be trained centrally at the Air Headquarters by the Personnel Staff Officers.

6.6.7 Separate Weightages to Initiating Officer (IO)/Reviewing Officer (RO)/Senior Reviewing Officers (SRO)

The present appraisal system has no provision of assigning weightage to the assessment of reporting officers at various levels. The reports rendered by last reviewing officer (SRO) are taken into account for all the purposes.

From time to time strong opinions have been expressed by Officers on the authenticity of the reports given by officer who have no direct contact with the appraisee and in some cases they have not even seen the appraisee. It is felt that in the absence of direct and adequate knowledge of an appraisee, RO's and SRO's assessments are based on inputs that have no bearing on the performance of the individual.

With these views, a question was asked to officers through the opinion survey. The findings of the survey are placed in Table 5.7 & 5.8. The graphical representation of the findings is attached in Appendix C11 & C12. Results of hypothesis testing are placed at table 5.9. The inferences drawn from the findings are :

- (i) Officers in Cat II (Wg Cdr to Air Cmde) have liked the proposal the most (68%), whereas officers in Cat I are not thoroughly convinced with the proposal.
- (ii) Among the three branches, the technical branch has shown greater liking for the proposal (66%). The other two groups have shown the response rate of around 60%.

Based on the results of survey findings it can be inferred that, with over 65% respondents in support of the suggested change and considering the various facts associated with the issue, it is recommended that introduction of separate weightages to the IO/RO/SRO can bring more objectivity in the appraisal system. Therefore the implementation of the suggested change in the performance appraisal system is strongly recommended. The design of the the weightages structure has been

discussed in the qualitative analysis.

6.7 QUALITATIVE ANALYSIS

6.7.1 Analysis of the Suggestions given by Respondents

It can be seen that a number of suggestions made are common to both the categories (Cat I and Cat II). Please refer section 5.5. The various aspects of PAS covered by the suggestion are given below :

- (i) Officers are clearly not aware of the system of counselling as elaborately covered in the policies of the Air Force. Officers have indicated their resentment towards the 'closed' system as they feel that they are not a part of the system. They want the system to be more open. Officers have a strong feeling that some sort of feed back should be given to appraisee to know where he stands in the organisations, his weak and strong points upon which he can further improve.
- (ii) Officers of both the categories have suggested to give more weightage to professional knowledge and performance related attributes than the personality traits.
- (iii) Officers of both the categories have suggested that there should be a system of education or training of appraisee on the various aspects of PAS.
- (iv) Officers have suggested to take suitable measures to increase the effectiveness of the PAS in deciding placements, promotions, selection for important courses in India and abroad and training and development needs of the officers.

- (v) Officer in Cat II have suggested to give some weightage to IOs to reduce the rater biases.
- (vi) Officers have suggested to have a system where goals/objectives should be set by IOs at the start of the appraisal period.

6.7.2 Weightages to IO/RO/SRO

In the question 4G, the respondent was asked to suggest the weightages for IO/RO/SRO on the ratings given by them in the final appraisal report. The findings of the survey are given in table 5.7 & 5.8. The various inferences drawn are :

- (i) The choices of respondents were almost evenly distributed between the three categories, i.e. (a) 50%, 30%, 20% (b) 60%, 30%, 10% (c) 70%, 20%, 10%.
- (ii) Very few respondents (8) have suggested to give equal weightage to RO and SRO.
- (iii) From the table, nothing concrete has arrived to comment on the category of weightage (ratio) which can be considered between IO/RO/SRO.
- (iv) However, it can be inferred that all the respondents have shown their uniformity to give more weightage to IO in comparison to RO and SRO. The suggested weightage to IO can be between 50% to 70%. Similarly, the weightage, suggested for RO and SRO are between 20% to 30% and 10% to 20% respectively.

The respondents have suggested to give more weightage to IO in the final rating because he is the one who is closest to the appraisee. This closeness permits him to know more closely the professional knowledge, style of working, interpersonal capabilities etc. of an appraisee. Whereas SRO is the one who is farthest away from him. In most of the cases he even does not know the appraisee either personally or at work.

CHAPTER 7

CONCLUSIONS

7.1 BACKGROUND

The present work is an attempt to study the performance appraisal system used in the IAF. The study is restricted to Officers only. Here an attempt has been made to find the various issues concerning the appraisal system. Besides, the satisfaction level of officers with PA system has been observed.

To achieve the main objectives of the study, a survey questionnaire was designed in three parts. The various purposes of the questionnaire were to find out

- (i) The factors which make the performance appraisal system less effective.
- (ii) The satisfaction level of officers with the present appraisal system and its various objectives.
- (iii) The opinion of officers on some suggested changes on the PAS.
- (iv) To see the difference of opinion between the officers across ranks and branches.

The questionnaire was circulated to approximately 300 officers personally and was finally collected from 212 of them. This makes the response rate to be 70.6%. The data collected was analysed statistically with the help of statistics software package 'STATGRAF'. Various conclusions drawn from the analysis are given below. .pa

7.2

PROBABLE PROBLEMS IN THE PAS

7.2.1 Findings

The Officers of Cat I (Flt Lt to Sqn Ldr) and Cat II (Wg. Cdr to Air Cmde) as well as officers of all the three branches i.e. Flying, Technical, Non Tech. Ground Duty have jointly come to the following conclusions :

(a) Statements which are strongly affecting the performance appraisal system are given below

- (1) Subjectivity on the part of the raters interferes in the performance appraisal of the ratees.
- (2) Appraisal feed back is never given to appraisee and thus it does not help in their development.
- (3) Lenient and strict assessment by the raters of their ratees on the same efficiency level makes it difficult to compare ratings given by different raters for promotion career planning etc.
- (4) The appraisal system treats all the attributes/variables at par i.e. all the attributes are given same weightage.
- (5) Appraisal is often not linked to the training and development needs of the ratees.
- (6) The appraisal is generally an yearly phenomenon. Therefore, it becomes difficult for the raters to recall the performance at the time of filling appraisal. Hence the rater tends to be guided by recent achievements or failures.

- (b) The statement which has a considerable effect on the performance appraisal system is that the Raters and Ratees are often not from the same profession.
- (c) Statements which have not much effect on the performance appraisal system are given below
- (1) The performance appraisal is often used as an instrument to settle the personal scores.
 - (2) The items on the appraisal form have no relevance to the function or responsibility of the rates.
- (d) Statements on which there is a difference of opinion between the officers of Cat I and Cat II are given below
- (1) Cat I Officers feel more strongly about the lack of appraisal feed back than Cat II officers.
 - (2) Cat I Officers moderately agree that the objectives of the PAS are not clear to the raters and therefore he chooses his own objectives and rates accordingly whereas the officers of Cat II have disagreed with the statement as a probable problem in PAS.
 - (3) Cat I Officers moderately agree to the fact that the ratees are not aware of the criteria on which their performance will be judged whereas the officers of Cat II have disagreed with the statement as a probable problem in PAS.
 - (4) It has been strongly agreed by Cat I officers that the objective of meeting the training and development needs of the officers is not achieved effectively by PAS. Where as the same has been

moderately agreed by Cat II officers as a problem area in PAS

- (5) It has been strongly agreed by Cat I officers that the rater and the ratee being from different profession affect the effectiveness of PAS. Whereas the same has been moderately agreed by Cat II as a problem area in PAS

(e) Statements where difference of opinion exists between the officers of all the three branches are given below

- (1) It has been strongly agreed by all three branches that some raters being lenient and the others being strict in assessing their subordinates make it difficult to compare the ratings given by different raters for promotion, career planning etc. However, the percentage rate varies from branch to branch.
- (2) Technical branch does not consider that the appraisal is time consuming and the number of attributes being too many overburden the rater. Whereas the same is considered as a moderate problem area in the PAS by Flying and Non Tech Ground Duty branches.
- (3) Appraisal is not linked to the training and development needs of the officers has been considered as serious problem area in the PAS by Flying and Non Tech Ground Duty and moderate problem in the PAS by Technical branch.

(4) Rater and Ratee being from different profession has been considered as problem in PAS by Technical and Non Tech Ground Duty branches, but is not considered as problem area by Flying branch.

7.3 CRITICALITY OF STATEMENTS TOWARDS EFFECTIVENESS OF PAS

7.3.1 Findings

The entire sample with respect to rank i.e. officers of cat I and Cat II and branch i.e. Flying, Technical and Non Tech Ground Duty has jointly decided the criticality of statements towards the effectiveness of PAS as given below

- (a) The most critical statements towards the effectiveness of performance appraisal system are
 - (1) Subjectivity on the part of the rates interferes in the performance appraisal of the ratees.
 - (2) Appraisal feed back is never given to appraisee and thus it does not help in their development.
 - (3) Lenient and strict assessment by the raters of their ratees on the same efficiency level makes it difficult to compare ratings given by different raters for promotion career planning etc.
 - (4) The appraisal system treats all the attributes/ variables at par i.e. all the attributes are given same weightage.
 - (5) Appraisal is often not linked to the training and development needs of the ratees.
 - (6) The performance appraisal is often used as an instrument to settle the personal scores.

(b) The critical statements towards the effectiveness of performance appraisal system are

(1) The appraisal is generally an yearly phenomenon. Therefore, it becomes difficult for the raters to recall the performance at the time of filling appraisal. Hence the rater tends to be guided by recent achievements or failures.

(2) Objectives of the PAS are not clear to the raters and therefore he chooses his own objectives and rates accordingly.

(c) The ordinary statements which have not much effect on the effectiveness of PAS are

(1) The raters and the ratees are often not from the same profession.

(2) The Items on the appraisal form have no relevance to the function or responsibility of the ratee.

(d) Officer of Cat I and Cat II have the same opinions for all the statements regarding their criticality towards effectiveness of PAS.

(e) Officers of the three branches have a different opinion regarding the lack of feed back given to the appraisee. Officers of Non Tech. Ground Duty and Technical consider it most critical and the officers of Flying branch consider it just critical towards the effectiveness of PAS.

criterion on which their performance will be judged

- (3) Feedback to officers on the performance and behaviour should be given.
- (4) Performance achievement information system with the aim to provide performance/achievement data to the rater should become a part of the PAS.
- (5) Appraisal form should have distinct sections for different purposes for which it is intended to be used.
- (6) Performance Traits should be given more weightage than the personality traits.

7.5 SATISFACTION LEVEL OF OFFICERS ON PAS AND ITS VARIOUS OBJECTIVES

In the question 2 and 3 the satisfaction level of the officers on PAS and its various objectives have been observed on a five point rating scale. The satisfaction level of the officers across rank and branch i.e. all the five categories towards the PAS and its objectives except the PAS link to its objective on meeting the training and development needs of officers is little higher than OK. This tells that officers are neither unhappy nor satisfied with the PAS in meeting its various objectives. This conveys that still there is a scope for improvement on the various aspects of the appraisal system. The link between PAS and its objective on meeting the training and development needs of officers has come for a sharp criticism from all the five categories. Officers of all the five categories have shown the satisfactory level with said objective as less than OK.

7.5.1 Findings

Various findings can be concluded as given below

- (1) Satisfaction of officers with the PAS and its most objectives is little higher than OK.
- (2) Among the various objectives, the objective on determining the officers' suitability for promotion has received the highest rating on the satisfaction scale. Similarly, the objective on meeting the training and development needs of officers has received the lowest rating on the satisfaction scale.
- (3) Significant difference of opinion exist between the officers of Cat I and Cat II on the selection for important courses in India and abroad. Similarly a significant difference of opinion exist between Flying and Non Tech Ground Duty officers on meeting the training and development needs of officers. In both the cases, the officers have expressed the same opinion on their satisfaction level but the degree of satisfaction varies.

7.5.2. Suggestions

Officers have suggested to take suitable measures to increase the effectiveness of PAS in deciding placements promotions, selection for important courses in India and abroad and training and development needs of the officers.

7.6 SUGGESTED CHANGES TO PAS

In the third part of the questionnaire views of the respondents on some suggested changes to PAS were asked. On

analysing the received data the following findings have been drawn

7.6.1 Findings

- (1) The proposal of self appraisal has been accepted with overwhelming majority by all the officers.
- (2) The proposal of upward appraisal has been accepted moderately by Cat I officers whereas in the Cat II only half of the sample has accepted the proposal. Among the three branches, the Technical branch officers have shown a greater acceptance to the proposal than the other two branches.
- (3) The proposal of performance counselling has been accepted by an overwhelming majority of the officers.
- (4) The proposal on feedback on reports has received a mixed opinion from the entire sample.
- (5) The proposal on weightage to assessment in relation to appointment has been strongly accepted by Cat I officers whereas Cat II officers have moderately agreed with the proposal. Among the three branches the Technical branch has favoured the idea most and the Flying branch the least.
- (6) The proposal on appraisal workshop on station level has been accepted by an overwhelming majority of officers.
- (7) The proposal of separate weightage to IO/RO/SRO has been moderately accepted by Cat II officers whereas officers of Cat I are not thoroughly convinced with the proposal. Among the three branches the Technical branch has shown a greater liking to the proposal.

7.6.2 Recommendations

Considering the results of the survey finding and the various merits and demerits of the suggested changes, the following recommendations have been made.

- (1) Based on the survey results it is strongly recommended to include self appraisal as a component of the traditional appraisal system.
- (2) Regarding upward appraisal, the low rate of acceptance by the respondents and considering the defence set up it cannot be suggested outrightly to implement the proposal. More detailed research is needed on this subject.
- (3) Regarding the proposal on performance counselling it is strongly suggested to develop a culture in the organisation for conducting performance counselling in a more effective manner on a periodic basis throughout the year.
- (4) On the issue of showing the reports to the ratee as and when it is raised, the results of survey finding are unable to say whether to accept or reject the proposal. It needs to be viewed objectively in order to find out what is the best for the IAF.
- (5) On the idea of assigning same weightage to the assessment in relation to the appointment it is brought out by the officers that it is neither an easy task nor a wholesome solution. Therefore at this stage it is recommended not to implement the proposal in our PAS.
- (6) Based on survey findings and considering the importance of training in reducing the biases, subjectivity, leniency and other rater and ratee based errors, it is strongly

recommended that large no. of officers should be trained on yearly basis which can be achieved by making AF Stations responsible for conducting appraisal workshops.

- (7) Based on the survey results and considering the arguments of both the sides it is recommended that introduction of separate weightages to IO/RO/SRO can bring more objectivity in the appraisal system. Therefore the implementation of the suggested change in the PAS is strongly recommended. Regarding respective weightages to IO/RO/SRO the respondents have equally suggested three combinations which are (a) 70%, 20%, 10%; (b) 60%, 30%, 10%; (c) 50%, 30%, 20%.

7.7 LIMITATIONS OF THE STUDY

1. Senior Officer from Air Vice Marshall to Air Marshall could not be included in the study because the data collected on them was not sufficient for statistical analysis.
2. Limitations of time and money restricted me to visit the units closer to Kanpur.
3. All the Non Tech Ground Duty branches were included in one category i.e. NTGR. Therefore, their individual branch effect on the various issues on the PAS could not be identified.

7.8 SUGGESTIONS FOR FUTURE RESEARCH

More work can be carried out on the below mentioned aspects.

1. This study could not bring out the best way of giving the feedback to the ratee. Therefore a separate study can be conducted to find out the same.

Dear Sir,

I, Sqn. Ldr P C Pandey, am doing M Tech in Industrial and Management Engineering at IIT Kanpur. In my dissertation, I am studying the effectiveness of the Performance Appraisal System (P.A.S.) in the Indian Air Force (IAF).

For the purpose, I have designed this questionnaire. It has three parts. The first part discusses some of the probable problems in the PAS. The second elicits opinion on the level of satisfaction with the present PAS. The final section asks your views about some of the changes suggested.

Your response will facilitate my understanding about the PAS. The data provided by you will be a part of large sample size and will be analysed only at an aggregate level. Thus, I assure you that the data will be used only for academic purpose and will be treated as strictly confidential.

(P C Pandey)
Sqn. Ldr.

20 Jan. 1995

Background Information

- (1) Rank :
- (2) Age :
- (3) Service Length (with antidade if any) :
- (4) Functional Specialization :

Flying/Technical/Logistics/Administrative/Accts/Edn/Met/Med

PART - I

1. The 13 statements mentioned below are probable problem areas for the Performance Appraisal System (PAS) used in Indian Air Force (IAF). You are required to answer the following :

- (a) Please give your opinion whether you agree or disagree with the statement by putting a tick mark () in the bracket.

(b) In case you agree with a statement, then please mention its criticality for the effectiveness of the PAS by selecting any one of the following alternatives.

- (i) Most Critical (MC) (ii) Critical (CR)
(iii) Ordinary (OR)

(A) Raters are often subjective and allow their personal biases and prejudices to interfere in the performance appraisal of their ratees.

(a) Agree Disagree

(b) MC CR OR

(B) Appraisal feed back is never given to appraisee and thus it does not help in their development.

(a) Agree Disagree

(b) MC CR OR

(C) The objectives of the PAS are not clear to the raters. Each rater, therefore gives it the objectives he chooses and rates accordingly.

(a) Agree Disagree

(b) MC CR OR

(D) Some raters are lenient, others strict, which makes it difficult to compare ratings given by different raters for promotions, career planning etc.

(a) Agree Disagree

(b) MC CR OR

(E) Subordinates are often rated neither 'good' nor 'bad' but average on most items, thus defeating the very purpose of PAS which is to distinguish between good and bad performance

(a) Agree Disagree

(b) MC CR OR

(F) Ratees are not aware of the criteria on which their performance will be judged and so do not know how well they have fared.

(a) Agree Disagree

(b) MC CR OR

(G) Appraisal is time consuming. Number of attributes to be rated are too many and thus over burden the rater.

(a) Agree Disagree

(b) MC CR OR

(H) Appraisal is often not linked to the training and development needs of the ratees

(a) Agree Disagree

(b) MC CR OR

(I) The appraisal is generally an yearly phenomenon. Therefore, it becomes difficult for the raters to recall the performance at the time of filling appraisal. Hence the rater tends to be guided by recent achievements or failures.

(a) Agree Disagree

(b) MC CR OR

(J) Performance appraisal is often used as an instrument to settle the personal scores.

(a) Agree Disagree

(b) MC CR OR

(I) Raters and Ratees are often not from the same profession :

(a) Agree Disagree

(b) MC CR OR

(L) The appraisal system treats all the attributes/variables at par i.e. all the attributes are given same weightage.

(a) Agree Disagree

(b) MC CR OR

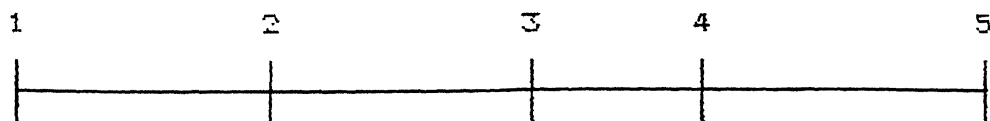
(M) Items on the appraisal form have no relevance to the functions or responsibilities of the ratee, i.e. the same form is used for the officers of different branches.

(a) Agree Disagree

(b) MC CR OR

PART - II

Q.2 Please indicate your overall satisfaction on the existing performance appraisal system (PAS) in the IAF, on a five point scale (Please encircle one of the five nos.)



Least (LS) Not (NS) O.K. Satisfactory Most Satisfact
Satisfactory Satisfactory (S) (MS)

Q.3. (a) How satisfactory is the existing Performance Appraisal System (PAS) in meeting the objectives mentioned below. Please indicate your degree of satisfaction on a five point scale (by encircling your choice) :

(I) Raters and Ratees are often not from the same profession :

(a) Agree Disagree

(b) MC CR OR

(L) The appraisal system treats all the attributes/variables at par i.e. all the attributes are given same weightage.

(a) Agree Disagree

(b) MC CR OR

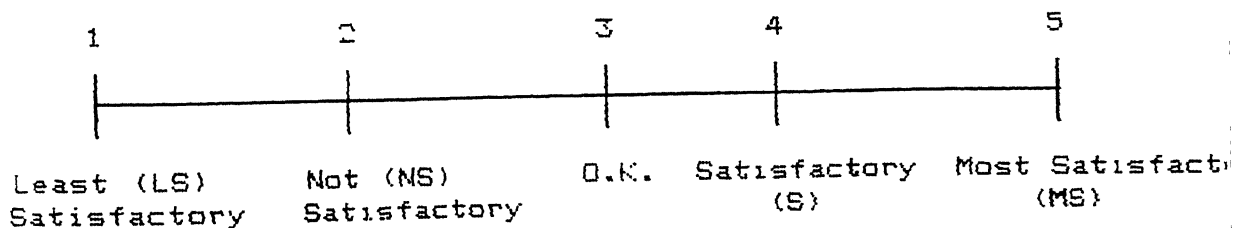
(M) Items on the appraisal form have no relevance to the functions or responsibilities of the ratee, i.e. the same form is used for the officers of different branches.

(a) Agree Disagree

(b) MC CR OR

PART - II

Q.2 Please indicate your overall satisfaction on the existing performance appraisal system (PAS) in the IAF, on a five point scale (Please encircle one of the five nos.)



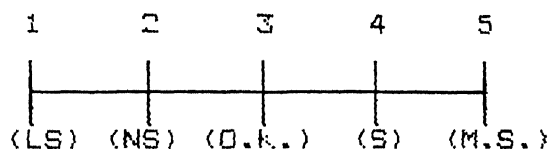
Q.3. (a) How satisfactory is the existing Performance Appraisal System (PAS) in meeting the objectives mentioned below. Please indicate your degree of satisfaction on a five point scale (by encircling your choice) :

- (b) If you have indicated '1' (LS) or '2' (NS) for any of the objectives, then please elaborate by giving reasons.

3(a) OBJECTIVES

3(b) REASONS

- (i) Determining Officer's Suitability for promotion

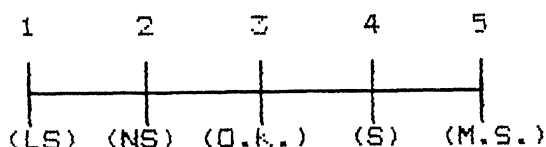


OBJECTIVES

REASONS

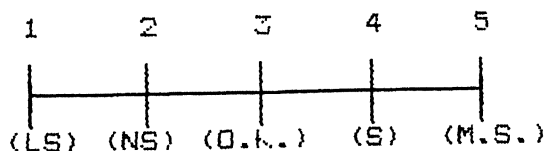
- (ii) Placement of Officer's to various appointments.

(ii)



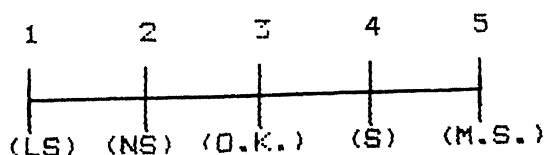
- (iii) Meeting the training and development needs of officers.

(iii)



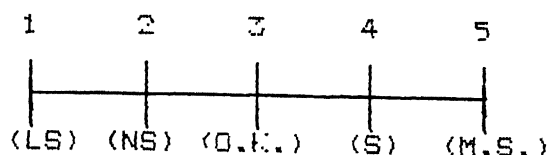
- (iv) Selection for important courses in India and Abroad

(iv)



OBJECTIVESREASONS

- (v) Adequacy of performance appraisal form to bring out all aspects of performance

PART - III

This section suggests certain specific changes in the PAS. Please indicate if you agree/disagree.

Q.4 Do you feel the necessity to have

- (a) The Self Appraisal as a component of the performance appraisal system.

Yes No

- (b) 'Upward Appraisal' where subordinates are used as a formal source of appraisal for supervisors.

Yes No

- (c) The performance counselling in a more effective manner on a periodic basis throughout the year.

Yes No

- (d) An Appraisal system where the whole report as and when raised may be shown to the ratee so that a ratee will get a chance to discuss the report with IO before it is forwarded to RO.

Yes No

- (e) An Appraisal system where some weightage should be assigned to the assessment in relation to the appointment

Yes ☐

No ☐

- (f) An appraisal system where the responsibility of conducting appraisal workshop should be given to the AF stations so that at one point of time a large no. of officers can be trained.

Yes ☐

No ☐

- (g) An appraisal system where the separate weightages should be assigned to the ratings given by IO, RO and SRO. If 'Yes', then mention respective weightages.

Yes ☐

No ☐

IO _____

RO _____

SRO _____

- (h) Any other change in the PAS, then please mention.

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| Fic (F) | Unfit (U) | | | | |
| Signature of PFO | | | | | |

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(When Filled)

IAFF (P)-57A*
(For Sqn Ldr and below)

For the Attention of Appraisers

The purpose of this form is to evaluate and record the PERFORMANCE of the officer reported upon DURING THE PERIOD OF REPORT. For completion of report refer to instructions given in Transit Cover.

APPRAISAL REPORT

| |
|-------------------|
| For use at Air HQ |
| AR SI. No. |
| Checked by |
| Name |
| Initials |

FROM.....TO.....

Annual ☐ On posting ☐ On posting of IO ☐ Special ☐

PART I—PERSONAL DATA

| | | | | | | |
|----------------------|------------------------|----------------------|-----------------------|---|---------------------|-----------------|
| 1. (a) Full Name | | | | | | |
| (b) Service Number | (c) Rank Actg. Sub | wef | (d) Branch/Sub-branch | (e) Decorations/Commendations (with year) | | |
| 2. (i) Date of birth | (b) Date of Commission | (c) Ante date if any | (d) Marital Status | (e) Present Unit | (f) Date of Posting | (g) Appointment |

PART IIA—QUALIFICATIONS/COURSES

| | | | |
|--|----------------|---|-------------|
| 3. Service/Courses | Date Completed | 4. Academic/Professional Qualifications | Date Gained |
| | | | |
| 5. Languages known (other than English) with examinations passed in each, if any :— (a) Indian : (b) Foreign : | | | |
| 6. Preference for Next Posting (a) (b) Brief Justification : Signature of Appraisee.....Date..... | | | |
| 7. Medical Category : Date.....Signature of Medical Officer..... | | | |

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2

PART IIB—FLYING DATA

(Attach additional sheet if needed)

8. (a) Aircrew status viz., Pilot, Nav., Flt Eng., Flt. Sig. etc.....
(b) Hours flown during period of report (from.....to.....)

[illegible]

8. (c) Summary of total service flying upto.....

[illegible]

8. (d) Roles in which most experienced and aircraft flown :—

| (i) | | (ii) | | (iii) | |
|------|----------|------|----------|-------|----------|
| Role | Aircraft | Role | Aircraft | Role | Aircraft |
| | | | | | |

Signature of Appraiser.....Date.....

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3

PART III—APPRAISAL

[To be recorded by Initiating Officer (IO), Reviewing Officer (RO) and Senior Reviewing Officer (SRO) under appropriate columns]

IO

RO

9. (a) How long has the officer actually served under you during the period of report ? months..... months
(b) What has been the frequency of your contact with the officer ?

Daily

☐☐

Often

☐☐

Sometimes

☐☐

Seldom

☐☐

- (c) Are you co-located with the officer ?

Yes

☐☐

No

☐☐

- *(d) Flying Certificate (Delete as appropriate)
Certified that

- (i) the officer has/not made reasonable use of the flying facilities available to him.
(ii) has/had no opportunity or facilities for flying.
(iii) the flying hours shown at para 8 above are correct.

- (e) Certified that the appraisee's specialist officer has been consulted before initiating the report (To be deleted when not applicable).

Signature of Initiating Officer.....Rank.....

Name.....Appointment.....
(Block Capitals)

Signature of Reviewing Officer.....Rank.....

NameAppointment.....
(Block Capitals)

*For Initiating Officer only.
IAFF (P)-57A.

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IO RO SRO

10. FLYING ASSESSMENT (on active flying duties)

(a) Level of Professional Knowledge

- Level of theoretical knowledge pertaining to aircraft and its systems, aerodynamics, meteorology, weapon systems etc.
- Breadth, depth and currency of knowledge.
- Keeness and pains taken to keep in touch with the latest developments in the field

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(b) Level of Flying Proficiency

- Proficiency as an individual aircrew member.
- Flying category/instrument rating.
- Growth orientation.

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(c) Presence of mind

- Quality and correctness of judgement in the air.
- Speed and accuracy in taking decisions.
- Judgement and decision taking in crisis and emergencies.

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(d) Discipline and Sense of Responsibility

- Degree of conformity with the prescribed instructions and regulations pertaining to flying.
- Willingness to accept and discharge responsibilities entrusted or arising in the air.

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(e) Self-confidence

- Degree of adequacy felt in flying.
- Self-reliance when alone in the air.

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(f) Determination

- Steadfastness in persisting in the face of difficulties.
- Capacity to persevere against heavy odds.

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(g) Reliability

- Degree of trustworthiness in accomplishing missions in time.
- Promptness and willingness in undertaking more than normal missions, sorties.

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(h) Leadership in the Air (For Flt Lts & Sqn Ldrs)

- Quality of planning and organising in the air.
- Proficiency in briefing and preparing for an operation/detachment.
- Coordination between the mission goals and the experience, abilities and limitations of team members.
- Power to inspire confidence in others in the air.

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II. PERFORMANCE ASSESSMENT

IOROSRO

(a) Professional Knowledge

- Level of professional knowledge in terms of depth, breadth and currency in relation to the requirements of the job.
- Keeness to learn and update knowledge

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(b) Quality and Output of Work

- Thoroughness, neatness, speed and accuracy in work.
- Attention to details.
- Adhering to target date in accomplishing tasks.

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(c) Attitude to Work

- Motivation and dedication to work.
- Degree of involvement in fulfilling the tasks.
- Willingness to accept occasional increased load of work.

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(d) Planning and Organising

- Foresight and vision in anticipating work needs.
- Ability in analysing a problem in its various aspects.
- Ability to accord correct priorities.
- Degree of competence in making effective use of resources in terms of men, material and time.

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(e) Decision Making Ability

- Ability to take correct and prompt decisions.
- Judgement in evaluating available alternatives before taking decisions.
- Decision making under stress and pressure of work.

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(f) Effective Intelligence

- Degree of grasp in perceiving the essentials of various situations, problems and ideas.
- Speed of grasp.
- Degree of appropriate reaction to various situations, problems and ideas.

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(g) Communication Skill—Written

- Skill in writing clearly, concisely and effectively.
- Ability to draft notes and write papers.
- Standard of staff work.

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6

IO RO SRO

(h) **Communication Skill—Oral**

- Ability to convey ideas, information and instructions verbally.
- Degree of impact in conversations, discussions and meetings.

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(j) **Inter-personal Relations**

- Appreciation and consideration of others' view points and needs in job situations.
- Ability to get along with others.

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(k) **Cooperation and Team Spirit**

- Degree of cooperation with colleagues, superiors and subordinates.
- Degree of acceptance by the group.
- Share of contribution toward group functioning.

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(l) **Ability to Inspire and Motivate**

- Example and enthusiasm in motivating others.
- Capacity to get support from others.

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(m) **Welfare of Subordinates**

- Degree of care, concern and consideration for the needs of juniors and subordinates.
- Effectiveness providing necessary permissible facilities to juniors.
- Degree of active participation in welfare activities.

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(n) **Initiative**

- Self-reliance and effectiveness in overcoming obstacles without help and guidance.
- Capability in independently handling unforeseen situations and unprecedented tasks.

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(o) **Courage (Physical and Moral)**

- Ability to take judicious risk in work situations.
- Boldness in facing unforeseen and dangerous situations.
- Resoluteness in standing on convictions without affecting service interests.

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(p) **Capacity to withstand Stress**

- Adequacy in coping with emergencies, crises and pressures.
- Degree of physical stamina and endurance.

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7

| | <u>IO</u> | <u>RO</u> | <u>SRO</u> |
|---|--------------------------|--------------------------|--------------------------|
| (q) Dependability —Degree of reliability in accomplishing tasks in time without sacrificing quality. —Degree of follow-up action required. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (r) Loyalty —Subordination of personal interest to overall interest of the service. —Degree of trust which can be placed in him as service officer. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (s) Discipline —Adequacy in consistently conforming to service rules, regulations, orders and instructions. —Personal conduct and behaviour in keeping with the service requirements. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (t) Integrity —Degree of honesty and uprightness in the use of service position and resources. —Degree of intellectual honesty in stating facts and giving correct information even at the risk of personal disadvantage. —Management of personal affairs and finances. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (u) Appearance and Bearing —Degree of neatness in turn-out ; personal interest and pride in uniform —Manner of personal conduct at all times. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

12. **PEN PICTURE** (The write-up on the officer is to be given under three separate paragraphs covering job performance, human relations and personal characteristics)

(a) Job Performance :

- (i) Appointment held :
- (ii) Secondary duties performed, if any

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8

(b) Human Relations

(c) Personal Characteristics

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13. Adverse Comments (if any)

- (a) If you want to make any adverse comments on the appraisee or if you consider any assessments in paras 10 and 11 or remarks at para 12 as adverse, please elaborate below :

- b. (i) Have the above remarks in para 13(a) and the adverse gradings in paras 10 and 11 been communicated to the officer ?

Yes ☐ No ☐ N.A. ☐

- (i) If yes, mention the reference number and date of such communication.

- (iii) if not communicated, please state the reasons thereof.

- (c) Was the appraisee appraised of his shortcomings verbally or in writing anytime during the period of report, before the communication of adverse remarks as given at para 13 (a) above ?

Yes ☐ No ☐

- (d) If yes, what improvement, if any, has he shown since being appraised of his shortcomings ?

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10

14. **EMPLOYABILITY :** Consider the officer's suitability for the following assignments. While recommending the officer's suitability for an assignment, please specify the level, e.g., command of a squadron, a training institute ; staff job at Command ^{or} Air HQ ; instructional assignment at a training institute, AFA or JCC etc.

Most Suitable Suitable

| | | |
|--|--------------------------|--------------------------|
| Command assignment at..... | <input type="checkbox"/> | <input type="checkbox"/> |
| Staff assignment at..... | <input type="checkbox"/> | <input type="checkbox"/> |
| Instructional assignment as..... | <input type="checkbox"/> | <input type="checkbox"/> |
| Field assignment as..... | <input type="checkbox"/> | <input type="checkbox"/> |
| Any other assignment (please specify)..... | <input type="checkbox"/> | <input type="checkbox"/> |
| | | |

15. **Training and Development Needs**

- (a) The officer is eligible for Promotion/Examination*.....
(b) He has passed/partially passed/not passed/appeared and result awaited.†
(c) He has appeared/not appeared and qualified/not qualified in/is not yet eligible for the DSSC entrance examination.†
(d) Training and development needs of the appraisee :

(e) Recommendation for service courses, if any.

Signature of Initiating Officer.....Rank.....Date.....

* Insert 'B' or 'C' or N/A as applicable.

† Delete as appropriate.

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11

PART IV

16. Remarks of the Reviewing Officer.

Signature.....Rank.....Date.....

17. Remarks of the Senior Reviewing Officer

Signature.....Rank.....Date.....
Name.....Appointment.....Formation.....
(Block Capitals)

PART V

18. Comments if any, by Command HQ

Signature.....Rank.....Date.....
Name.....Appointment.....Command.....
(Block Capitals)

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12

PART VI

19. Comments, if any, by Air HQ

Signature.....Rank.....Date.....

Name.....Appointment.....
(Block Capitals)

PART VII (For use at Air HQ by AR Cell)

20. Flying Assessment

| a | b | c | d | e | f | ga | h | Total |
|---|---|---|---|---|---|----|---|-------|
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Overall Grading

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21. Performance Assessment

| a | b | c | d | e | f | g | h | j | k | Total |
|---|---|---|---|---|---|---|---|---|---|-------|
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Overall Grading

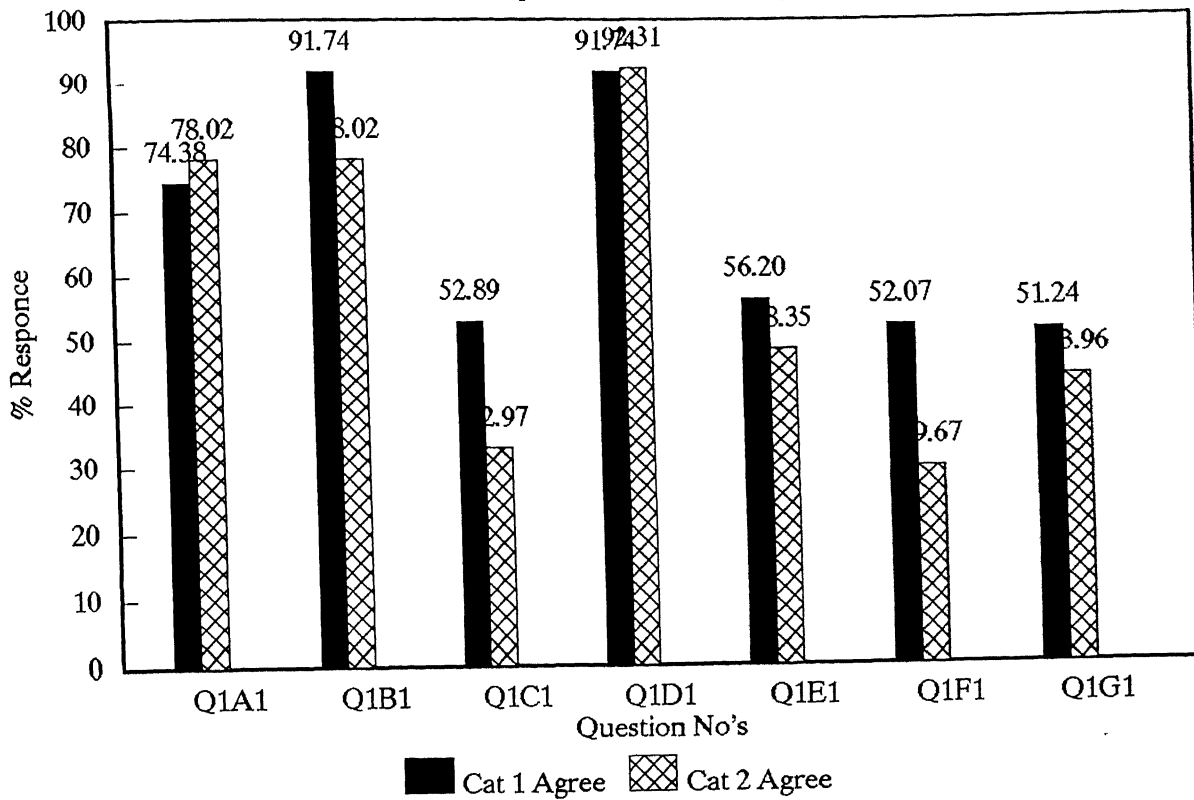
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Authentication date.....Initials.....

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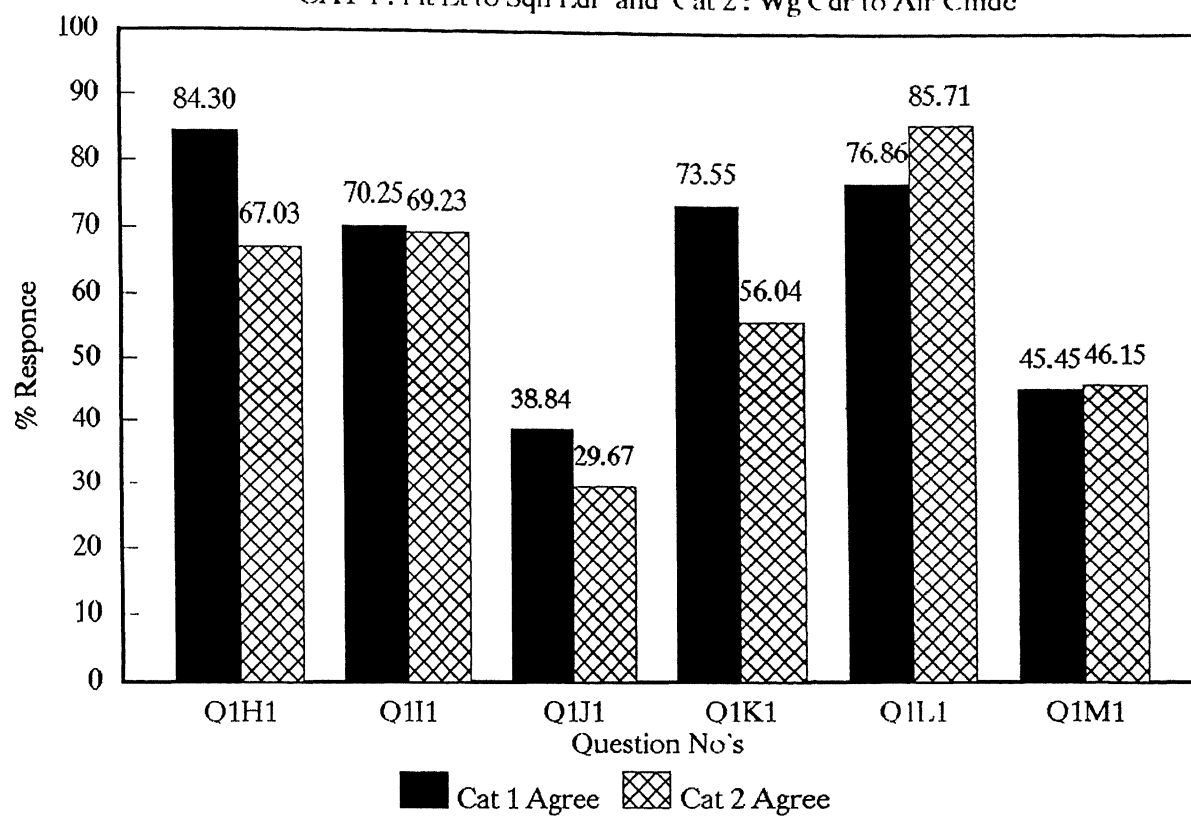
Response variation in Categories

CAT 1 : Flt Lt to Sqn Ldr and Cat 2 : Wg Cdr to Air Cmde



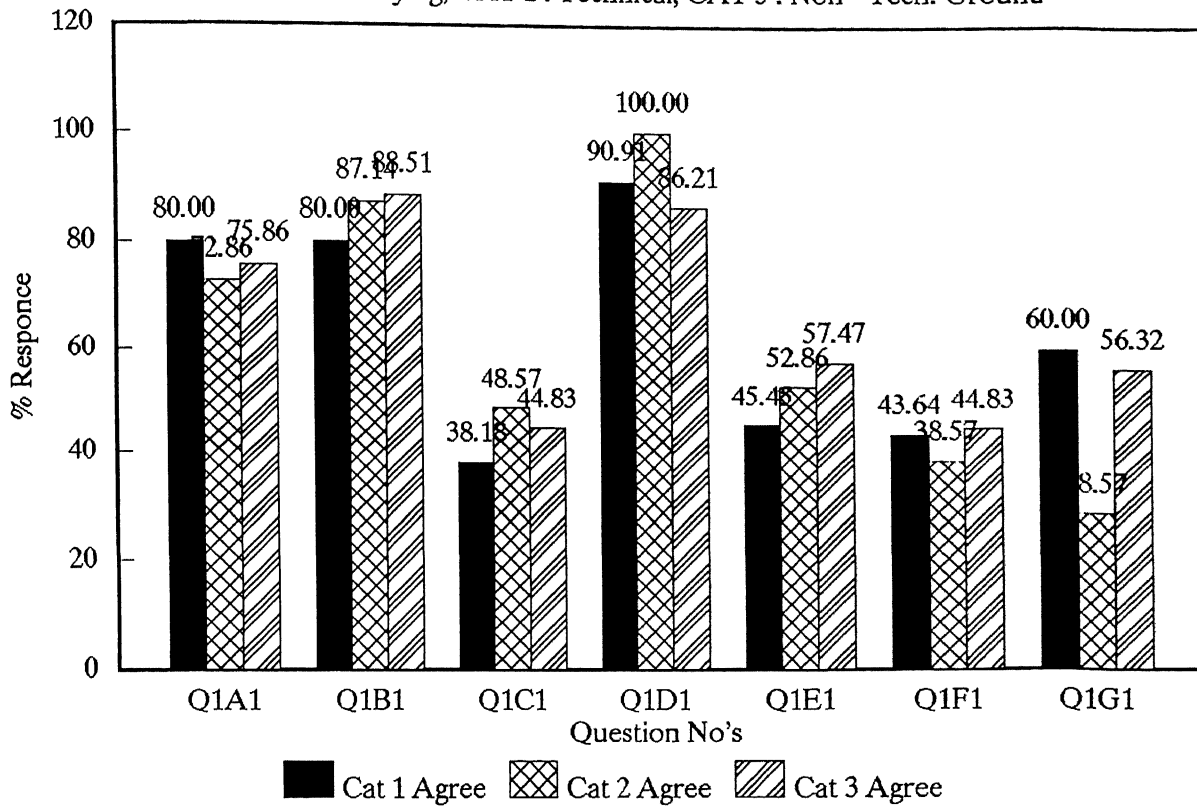
Response variation in Categories

CAT 1: Flt Lt to Sqn Ldr and Cat 2: Wg Cdr to Air Cmde



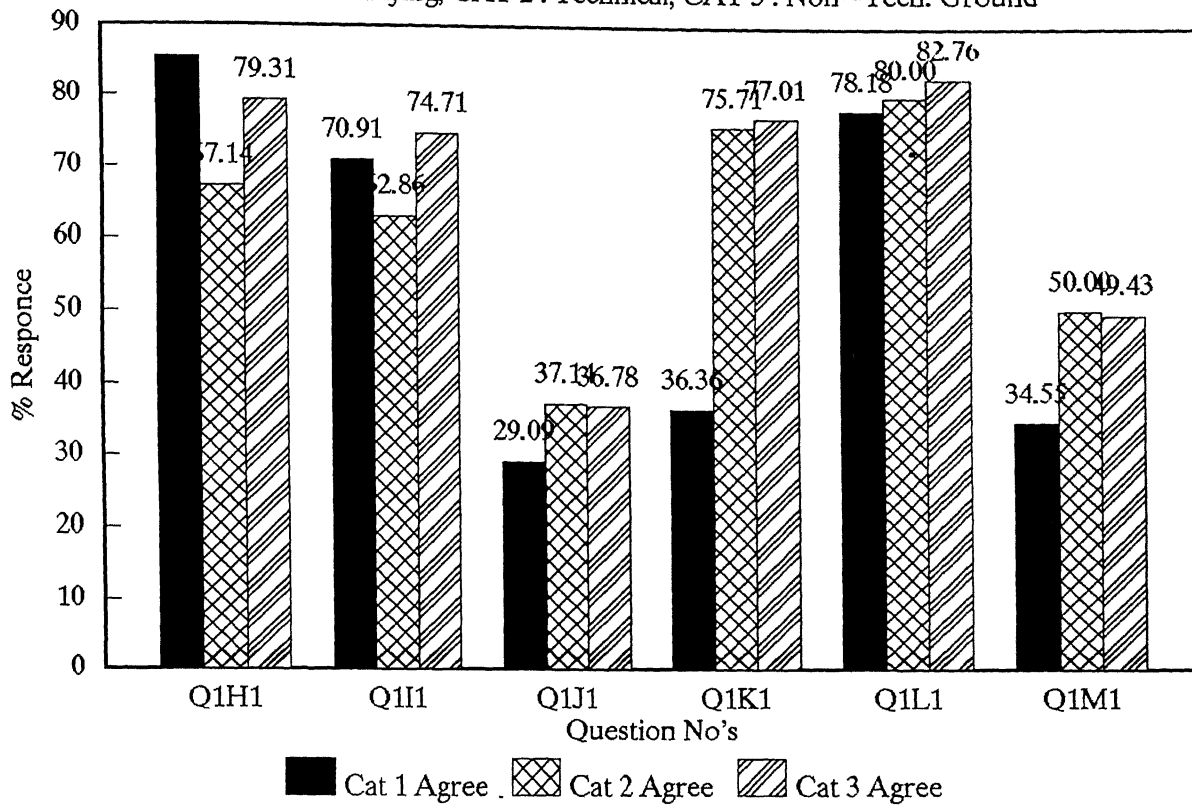
Response variation in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech. Ground



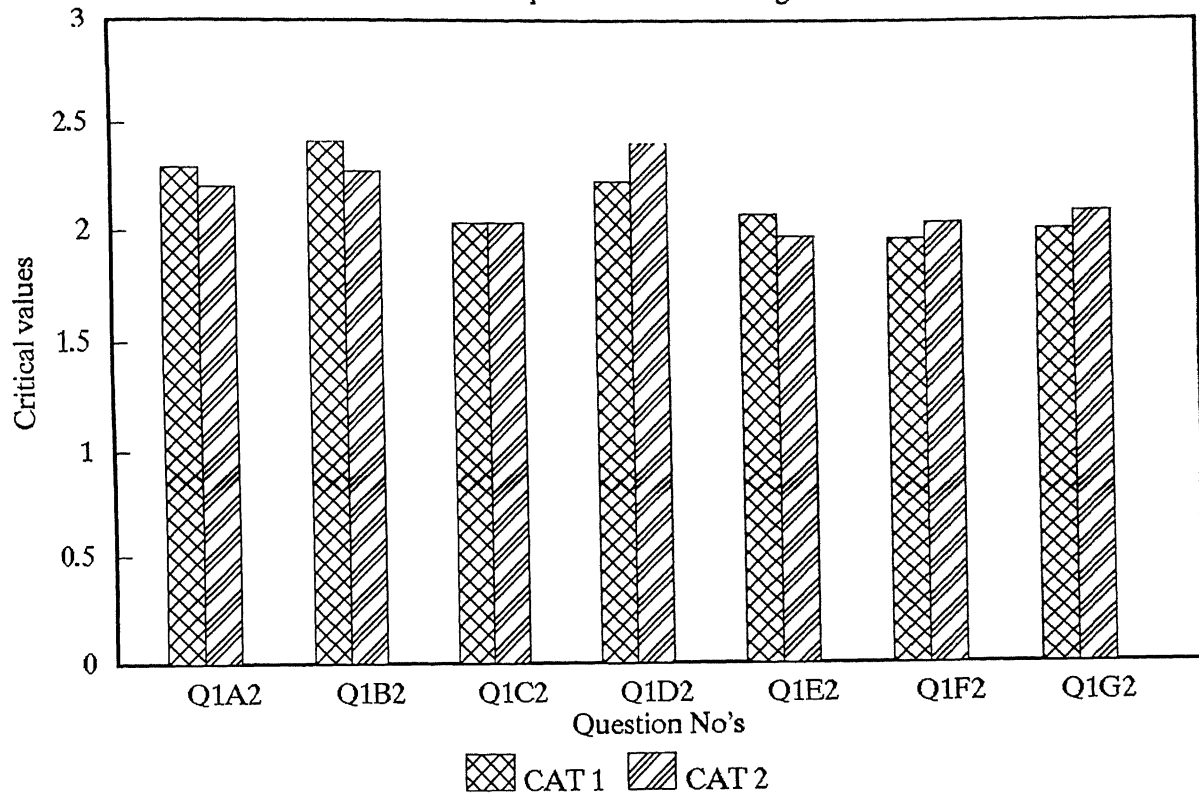
Response variation in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech. Ground



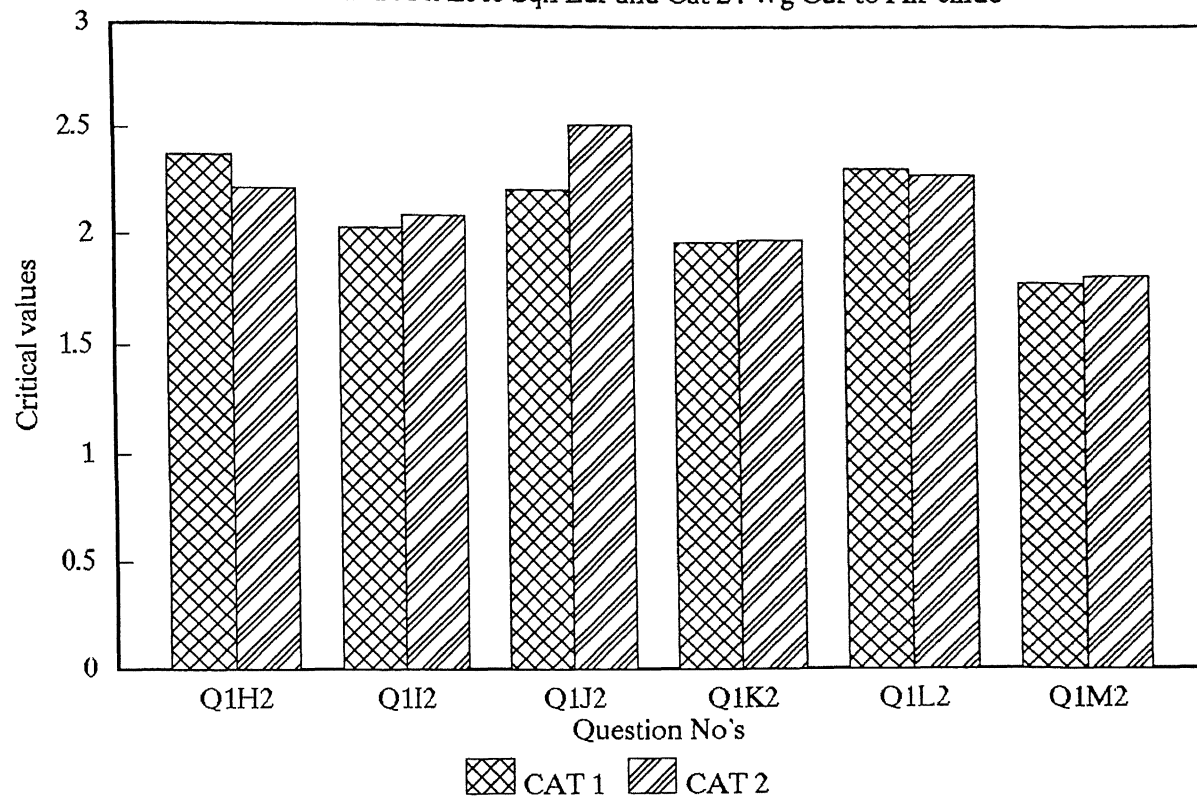
Criticality of Statements in Categories

CAT 1 : Flt Lt to Sqn Ldr and Cat 2 : Wg Cdr to Air cmde



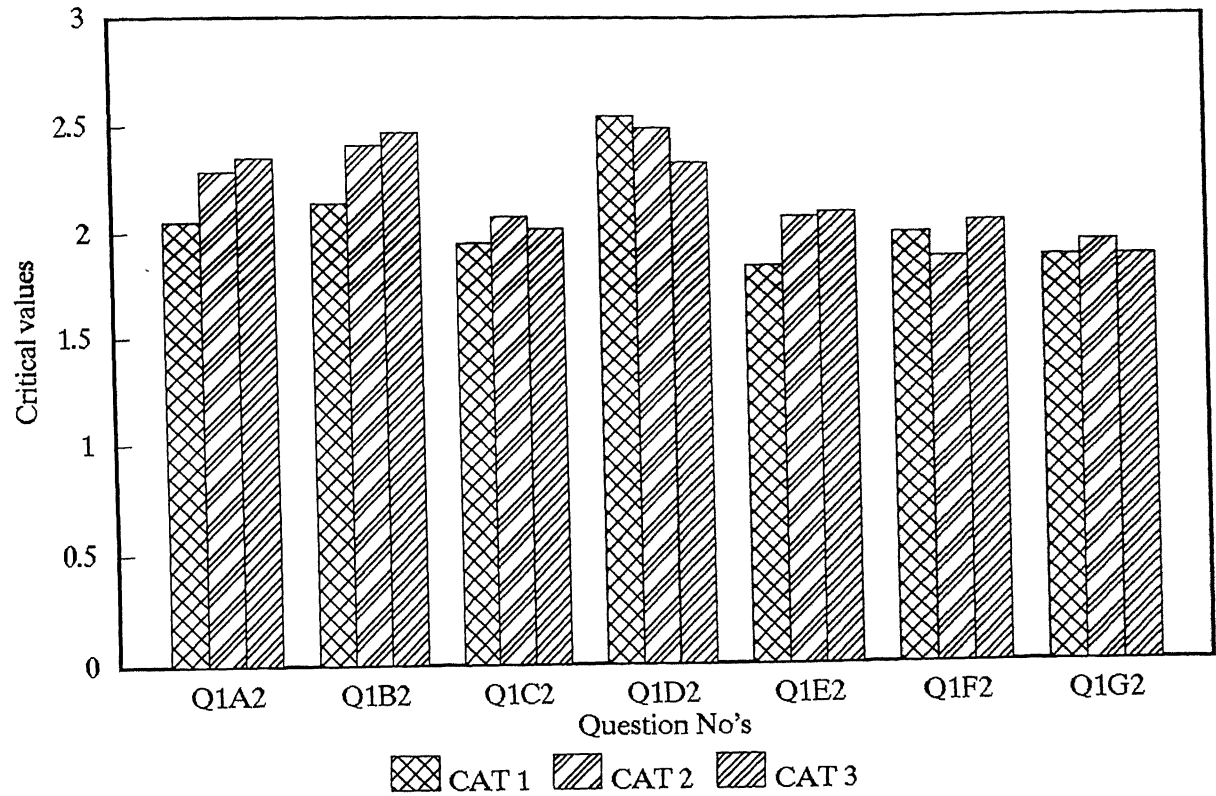
Criticality of Statements in Categories

CAT 1 : Flt Lt to Sqn Ldr and Cat 2 : Wg Cdr to Air cmde



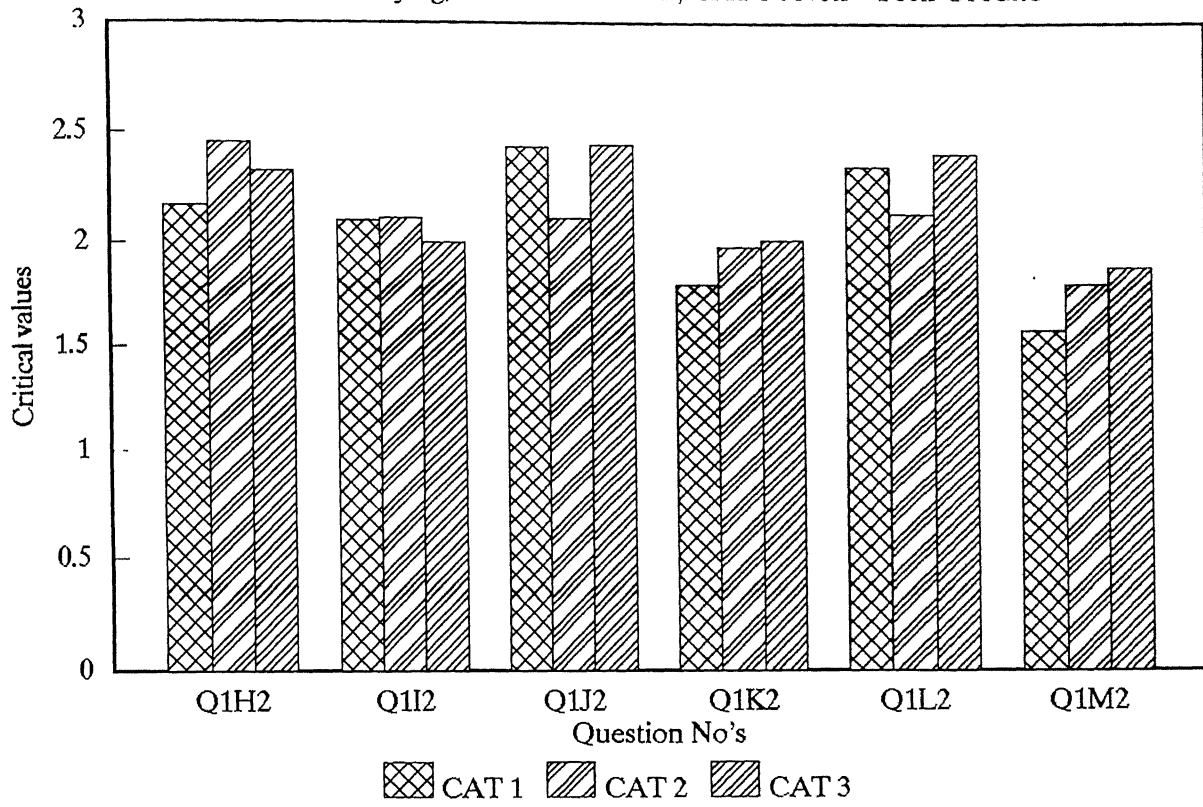
Criticality of Statements in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech Ground



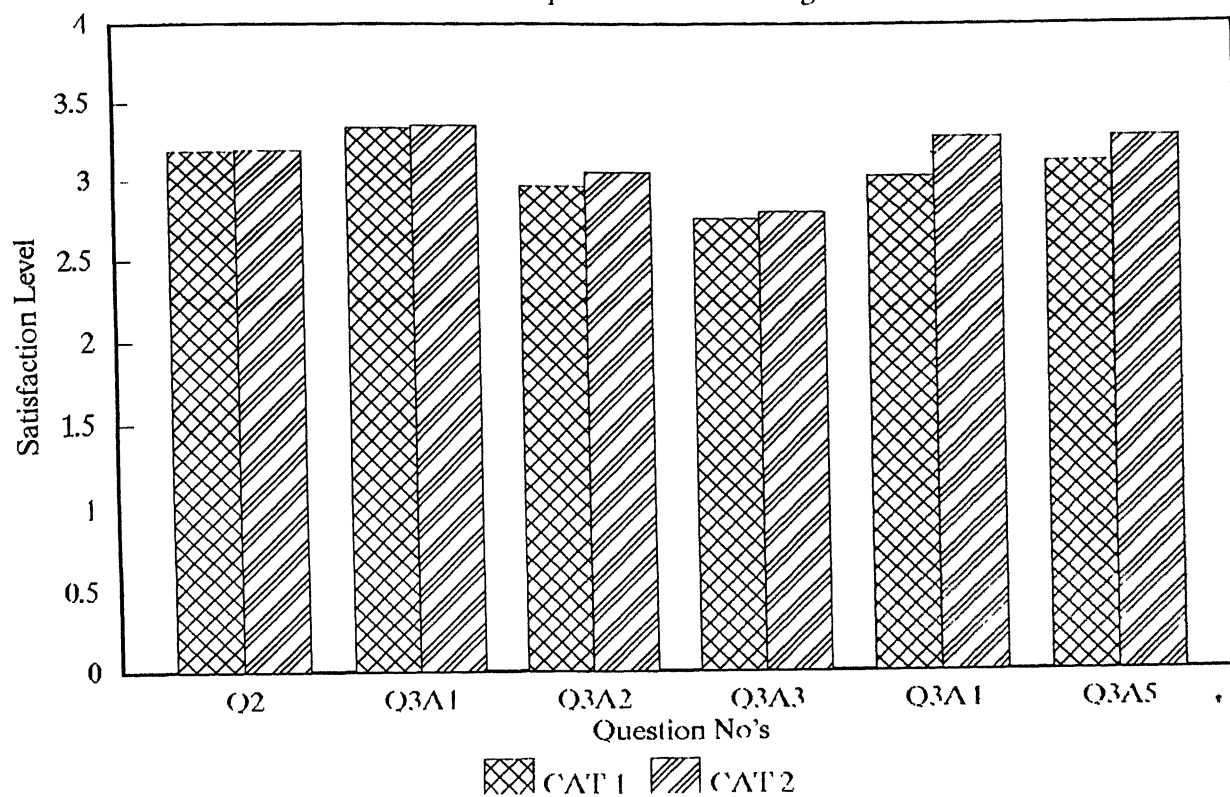
Criticality of Statements in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech Ground



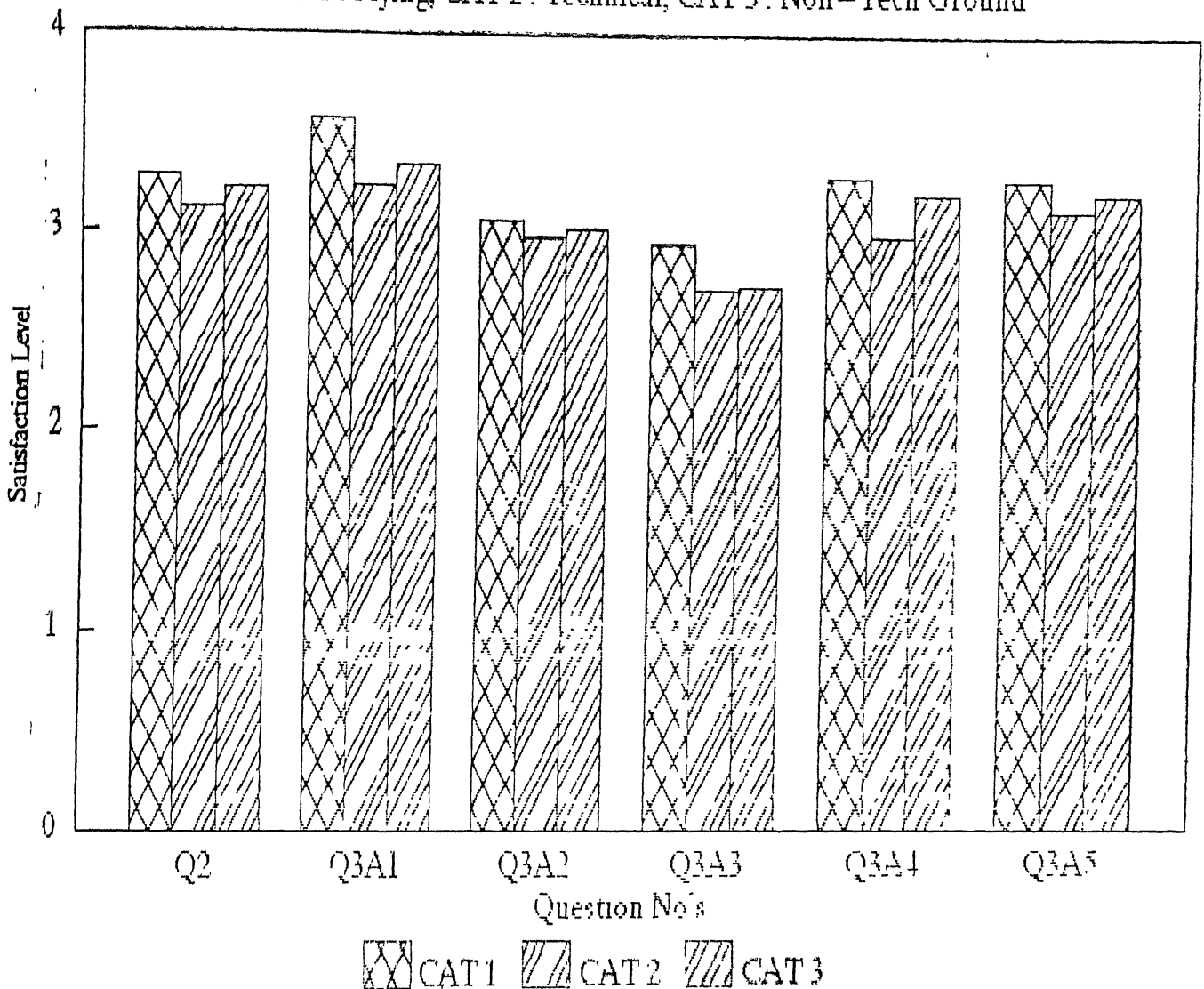
Satisfaction Level of Officers in Categories

CAT 1 : Flt Lt to Sqn Ldr and Cat 2 : Wg Cdr to Air cmde



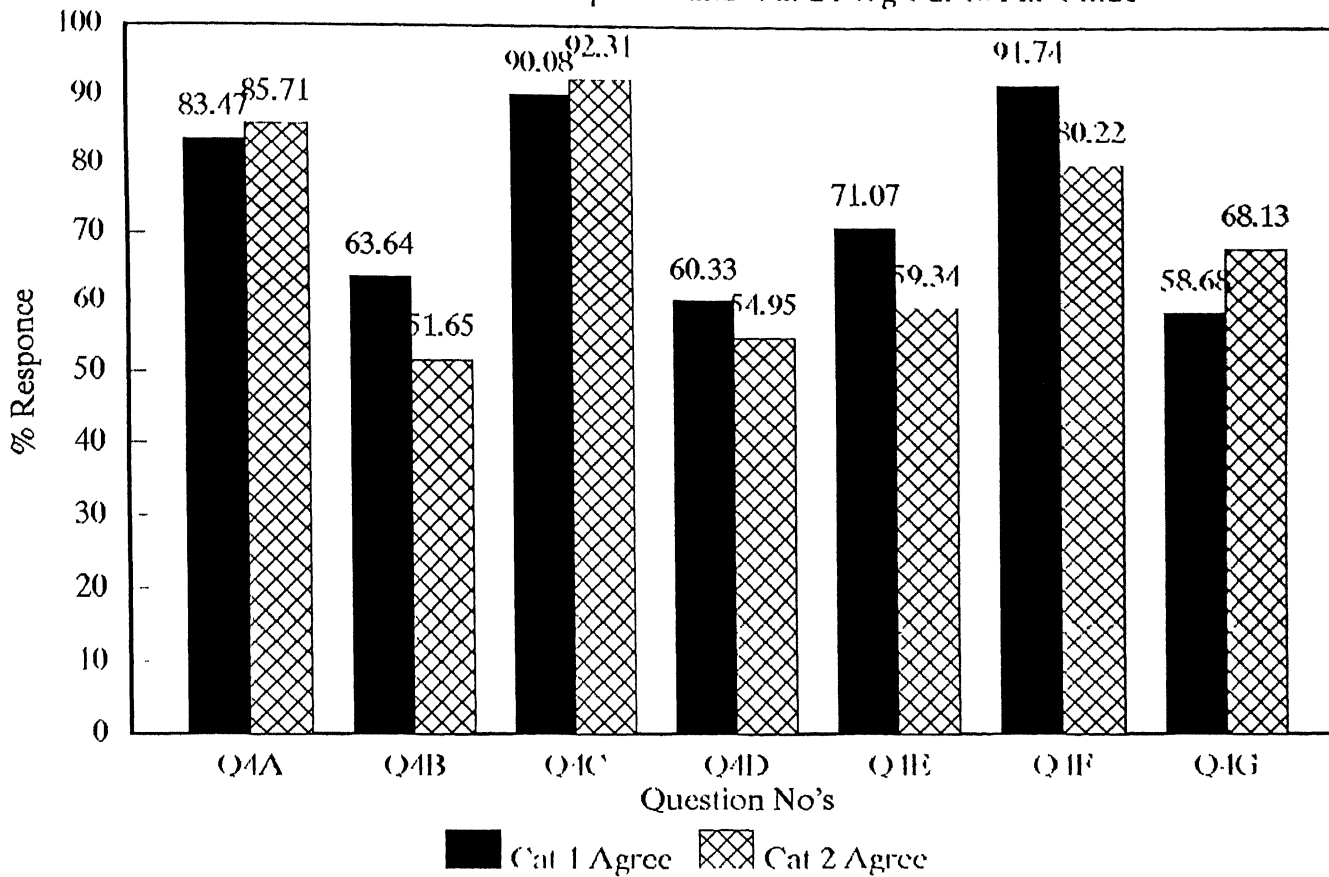
Satisfaction Level of Officers in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech Ground



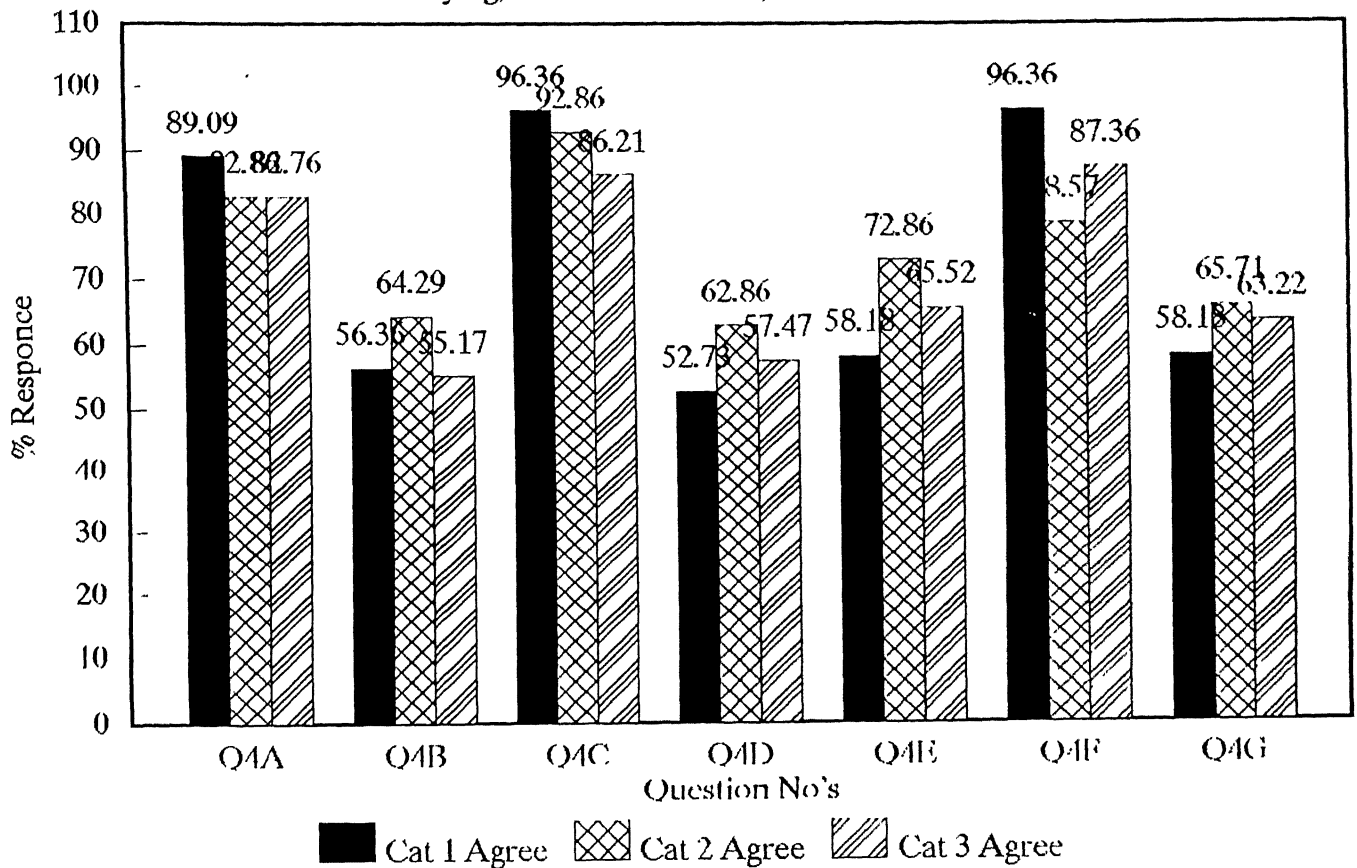
Response variation in Categories

CAT 1 : Flt Lt to Sqn Ldr and Cat 2 : Wg Cdr to Air Cmde



Response variation in Categories

CAT 1 : Flying, CAT 2 : Technical, CAT 3 : Non-Tech Ground



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